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ABSTRACT

Stage Two of the Title IV Quality Control Project represents an integrated study of quality in five related Federal financial aid programs for postsecondary students. An introductory chapter of this volume on procedures and methods presents the major objectives of Stage Two and discusses them in the context of previous related quality control studies. It reviews the Title IV programs and introduces the data sources used to conduct the study. Subsequent chapters describe in detail how the study was conducted. Chapter 2 discusses how error was defined and the procedures used for measuring error. Chapter 3 presents the sampling methodology used to construct a national sample of Federal student aid recipients. Chapters 4 and 5 describe data collection activities, focusing on institutional data collection, and student, parent, and secondary data collection. Chapter 6 details the preparation of the data for analysis. Finally, Chapter 7 presents a discussion of nonresponse and variance estimates and their effects on the sample. Appendices report on sample design and sources of variability in overall student weights, offer a project summary, and examine variance estimates. Appendix D, bound separately, offers materials related to data collection. Materials include institutional data collection letters and forms, such as notification of selection letter, master schedule for data collection, interview confirmation letter, telephone script for schedule confirmation, interviewer validation report form, data collector call-in form, and a form listing data collection problems to discuss with field data collectors. Materials also include student/parent data collection letters, such as letters sent to students and parents introducing the project and soliciting cooperation in data collection efforts, re-approach letters to students who refused to participate, and other request and reminder forms. (JDD)

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U.S. DEPARTMENT OF EDUCATION

TITLE IV QUALITY CONTROL PROJECT

CONTRACT NO: 300-84-0020

STAGE TWO
VOLUME III
PROCEDURES AND METHODS

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VOLUME III
PROCEDURES AND METHODS

TITLE IV QUALITY CONTROL PROJECT
STAGE TWO

Submitted to

Division of Quality Assurance
Debt Collection and Management Assistance Service
Department of Education

JUNE 1987

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INTRODUCTION

Stage Two of the Title IV Quality Control Project represents the first integrated study of five related student financial aid programs. Previous projects have focused on these programs separately, in keeping with the structural differences among them. However, there exist many similarities between the delivery systems for these programs which justify the current approach to quality control. Results of the previous studies, taken together with regulatory changes and recent Department of Education (ED) policy initiatives, have led to an increased awareness of the nature and patterns of error that exist in the administration of these programs, as well as the likely impact of corrective actions upon the level of error.

In this introductory chapter we will present the major objectives of Stage Two, and discuss them in the context of the previous quality control studies that have shaped the current effort. We will also briefly review the Title IV programs themselves and introduce the data sources we used to conduct the study. Finally, we will describe how this volume is related to the other reports that document this study.

Subsequent chapters will describe in detail how the study was conducted. In Chapter 2 we will discuss how we have defined error in Stage Two and our procedures for measuring error. Chapter 3 will present the sampling methodology that we used to construct a national sample of

Federal student aid recipients. Chapters 4 and 5 will describe our data collection activities, and Chapter 6 will focus on the preparation of the data for analysis. Finally, Chapter 7 will present a discussion of nonresponse and variance estimates and their effects on the sample.

1.1 FOCUS OF STAGE TWO

The Pell Grant Quality Control Study and Stage One of the Title IV Quality Control Project sought to identify and measure error in the Pell Grant program. Also, in Stage One, in the Campus-Based and Guaranteed Student Loan (GSL) programs, the Title IV Quality Control Project sought to attribute error to its sources and to develop appropriate corrective actions to reduce error. The objectives of previous QC studies have been to measure error and create an awareness that error exists in the Title IV programs, to support such corrective actions as the validation of income-related data, and to increase awareness of the need for quality control at the institutional level. A specific objective of Stage One of the Title IV Quality Control Project was to develop a methodology for measuring error in the Campus-Based programs and GSL certification process. These objectives have largely been achieved. Error in the five Title IV programs can be defined and measured.

Stage Two represents a change in focus from the previous quality control (QC) studies in several ways. This study will again measure error in the Title IV programs, but will go beyond the identification and measurement of specific errors and types of errors. Rather, our focus in Stage Two is on ED's major policy initiatives - institutional quality control, intensified institutional verification, and simplification.

1.1.1 Major Objectives of Stage Two

The current study has five major objectives:

- To determine whether error persists in the Title IV programs
- To establish whether patterns of error exist that indicate problems across the Title IV programs
- To show the effects of prior ED corrective action initiatives
- To measure residual error
- To describe the effects of proposed major corrective actions on improving quality in the delivery of Federal student aid.

The current level of awareness of error and its sources, as well as the recognition of the need for institutional quality control, have led to new policy initiatives on the part of ED and therefore a need for a different focus in Stage Two. Factors which have influenced the ED policy environment since the QC studies were initiated are shown in Exhibit 1-1.

- Increasing budgetary pressure in the Title IV programs
- Increased understanding of the nature of error in the Title IV programs
- Realization that a growing proportion of error is resistant to marginal/incremental change
- Awareness of fundamental, structural problems in student aid programs
- Increasing awareness of burden and limits of mandated verification as sole approach to removing error

EXHIBIT 1-1
FACTORS INFLUENCING CURRENT ED POLICY ENVIRONMENT

ED has undertaken three major policy initiatives in response to these factors: validation, institutional quality control, and simplification (Exhibit 1-2).

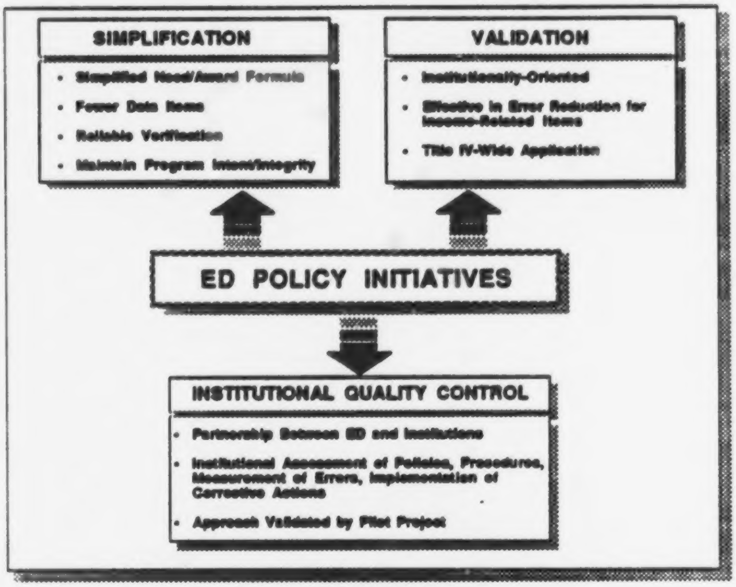

SIMPLIFICATION
• Simplified Need/Award Formula
• Fewer Data Items
• Reliable Verification
• Maintain Program Intent/Integrity
VALIDATION
• Institutionally-Oriented
• Effective in Error Reduction for Income-Related Items
• Title IV-Wide Application
ED POLICY INITIATIVES
INSTITUTIONAL QUALITY CONTROL
• Partnership Between ED and Institutions
• Institutional Assessment of Policies, Procedures, Measurement of Errors, Implementation of Corrective Actions
• Approach Validated by Pilot Project

EXHIBIT 1-2
DEPARTMENT OF EDUCATION POLICY INITIATIVES

Validation in the Pell Grant program has reduced many application errors. While mandated by Federal regulation, validation is essentially institutionally-oriented, requiring verification of specified application items by the institution. It has been particularly effective in reducing income-related application error and has been extended to the Campus-Based and GSL programs for 1986-87.

In the area of institutional quality control, ED has accepted the findings of earlier studies which have shown that the presence of institutional quality control procedures is associated with lower levels of error. The Institutional Quality Control Pilot Project, begun in 1985, establishes a formal, cooperative partnership between ED and the participating pilot institutions to develop these types of procedures.

These institutions assess their own policies and procedures, measure errors, and implement specific activities to reduce error. The pilot project has confirmed both the validity of this approach and its potential for error reduction.

In the third policy area, simplification, ED has examined ways in which the formulae for determining a student's award or need for financial aid can be simplified to reduce error by using fewer data items which can be reliably verified, while preserving the ability of the formula to sensitively measure need. Previous efforts in this area were focused on the Pell Grant program, and demonstrated the efficacy of using a simplified formula.

Stage Two also represents a change in focus from previous studies in that those studies were designed to measure error, first in the Pell Grant program alone, and then in Campus-Based and GSL certifications, apart from Pell. In each of these studies the sample of students was drawn to represent the population of recipients in the respective programs. In Stage Two, our study design called for a nationally representative sample of Title IV recipients. We can therefore assess the patterns of error that exist across the programs, and develop corrective action recommendations to address these errors. The distribution of Pell, Campus-Based, and GSL recipients in the sample has still allowed us to measure error by program, as is necessary because differences in program structure not only preclude the development of a single error measure, common to all five Title IV programs, but also require different error measures for each program. We have also preserved different error definitions from prior studies in order to assure comparability with them, so that trends in error and residual error can be analyzed.

1.2 RELATIONSHIP TO PREVIOUS QC STUDIES

Over the past 10 years, a series of quality control studies has demonstrated that error can be identified and measured, and that analysis of error can result in the identification and implementation of corrective actions which can reduce error. These studies are shown in Exhibit 1-3.

Each of these studies has built upon the findings of its predecessors to refine its own methodology and to lead to increased understanding of the nature and causes of error in the Title IV programs. Study methodology has been sufficiently refined through these studies to provide precise estimates of the magnitude of aggregate error. Successive studies have pointed to the need for corrective actions to reduce the level of error in the Title IV programs without compromising program intent, based on careful analysis of levels and sources of error, as well as importance of specific errors in relation to program objectives.

1.2.1 Similarities to Previous Studies

Stage Two is one of a series of quality control projects and, in that context, the ability to compare the results of this study with prior findings is vital to the success of both the project itself and ED's quality control initiatives. The methodology for Stage Two must provide

1975	- Office of Education study, compared Internal Revenue Service records with applicant data
1977	- Student Financial Assistance Study Group report, based on public testimony, previous studies, and audits
1979 - 80	- Basic Education Opportunity Grant (BEOG) Study, examined application data and institutional records
1980 - 83	- Pell Grant Quality Control Study, consisting of two large national surveys, studied error in the Pell Grant Program, compared delivery systems, assessed options for redesigning delivery systems, developed the Institutional Quality Control Handbook
1984 - 86	- Title IV Quality Control Study, Stage One, a national survey of recipients of Campus-Based aid and Guaranteed Student Loan certifications, studied error in the Campus-Based aid programs and GSL certifications - Title IV Quality Control Study, Stage Two, a national survey of recipients of Pell Grants, Campus-Based aid, and GSL certifications, studied error in the Title IV programs
1985 - 86	- The Institutional Quality Control Pilot Project, demonstrated the applicability of quality control to financial aid at the institutional level
1986	- Guaranteed Student Loan Quality Control Project, identified and measured error in the GSL program from financial institutions, and guarantee agencies, and ED

EXHIBIT 1-3
QUALITY CONTROL STUDIES
1975 - 1986

the basis for analyses which will provide ED policy makers with trend data on error in order to evaluate the effectiveness of prior corrective actions and program changes. In order to accommodate this need, we have structured the measurement and analysis of error in conformance with prior studies. For example, we have maintained the basic definitions and structure for decomposition of errors.

The design of Stage Two features many of the same elements as the Stage One and Pell QC studies. As shown in Exhibit 1-4, the research methodology is essentially the same, having the following basic components:

- Specification of the delivery system and its error points
- Identification of the types and sources of available data
- Definition of program error
- Identification of potential causes and their relationship to error
- Identification of corrective actions and analyses of likely benefits and costs
- Determination, collection, and processing of the required data
- Analysis and reporting of results.

The presentation of study findings from Stage Two will also share elements of the previous studies. Findings will consist of both aggregate error measures and decomposed error measures to show the attribution of program-wide error to its sources. The findings will also form the basis for corrective actions analyses.

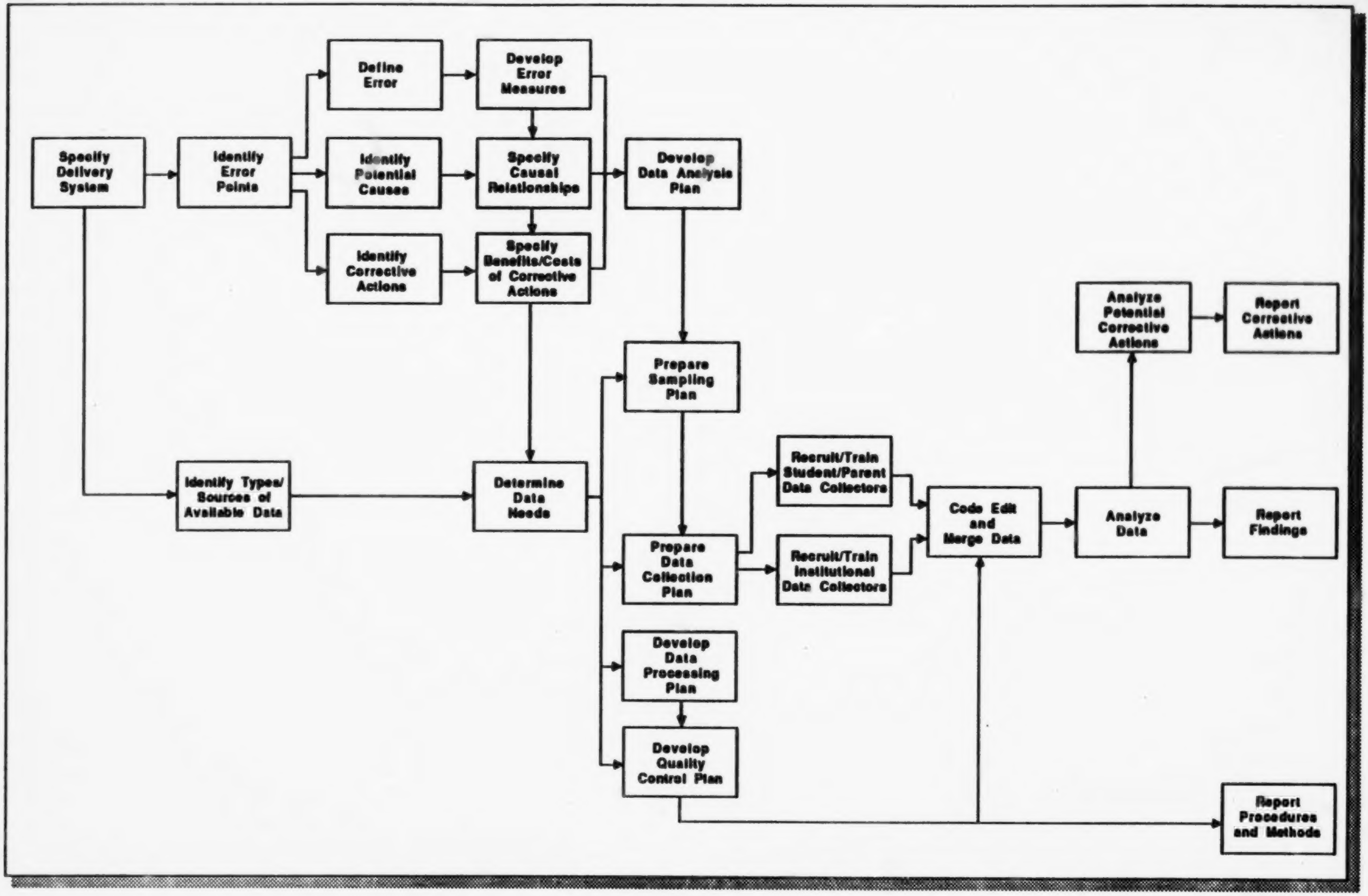

Specify Delivery System
Identify Error Points
Define Error
Develop Error Measures
Identify Potential Causes
Specify Causal Relationships
Identify Corrective Actions
Specify Benefits/Costs of Corrective Actions
Develop Data Analysis Plan
Analyze Potential Corrective Actions
Report Corrective Actions
Prepare Sampling Plan
Identify Types/ Sources of Available Data
Determine Data Needs
Recruit/Train Student/Parent Data Collectors
Code Edit and Merge Data
Analyze Data
Report Findings
Prepare Data Collection Plan
Recruit/Train Institutional Data Collectors
Develop Data Processing Plan
Develop Quality Control Plan
Report Procedures and Methods

EXHIBIT 1-4
METHODOLOGY FOR QUALITY CONTROL STUDIES

1.2.2 Review of Title IV Programs

The Title IV programs are so named because they are funded under Title IV of the Higher Education Act of 1965, as amended. This study is concerned with the Pell Grant program, the Campus-Based programs - National Direct Student Loans (NDSL), Supplemental Education Opportunity Grants (SEOG), and College Work-Study (CW-S), and the Guaranteed Student Loan (GSL) program. Major characteristics of the Title IV programs are shown in Exhibit 1-5. Another Title IV program, State Student Incentive Grants (SSIG), under which Federal funding is provided to states for the purpose of student financial assistance, is not included.

PELL GRANTS	• ENTITLEMENT • ELIGIBILITY REQUIREMENTS • FORMULA - DRIVEN FOR COST AND SAI • PAID THROUGH INSTITUTIONS • NO ADJUSTMENTS/DISCRETION • FUNDS ALLOCATED FROM U.S. TREASURY TO INSTITUTUINS
CAMPUS - BASED • NATIONAL DIRECT STUDENT LOANS (NDSL) • SUPPLEMENTAL EDUCATIONAL OPPORTUNITY GRANT (SEOG) • COLLEGE WORK - STUDY (CW-S)	• NEED ANALYSIS • ADJUSTMENTS TO EFC ALLOWED • PACKAGING POLICIES • ALLOWS UNMET NEED • SPECIFIC REGULATIONS FOR EACH PROGRAM • ADMINISTERED BY INSTITUTIONS
GUARANTEED STUDENT LOANS (GSL)	• CAPITAL PROVIDED BY PRIVATE - SECTOR FINANCIAL INSTITUTIONS • INSTITUTIONAL ROLE LIMITED • INSTITUTIONS CERTIFY ELIGIBILITY • NEED ASSUMED FOR FAMILY INCOME BELOW $30,000

EXHIBIT 1-5
CHARACTERISTICS OF THE TITLE IV PROGRAMS

Pell Grants are entitlements which support part of the cost of pursuing postsecondary education, up to specified limits. The students, the schools they attend, and the programs in which they enroll must satisfy categorical eligibility requirements. Once these requirements have been met, the amount of the student's grant depends on the student's financial eligibility, which is a function of both the cost of the educational program and the student's ability to pay that cost from the student and family assets and income. The calculation of costs, the student/family contribution, and awards are prescribed by program formulae. The money for awards is usually allocated from the U.S. Treasury to the institutions, which pay it to individual students or credit it to their accounts.

The **Campus-Based** programs consist of three individual Federal student aid programs, each administered by participating postsecondary institutions: the National Direct Student Loan (NDSL), renamed the Perkins Loan after reauthorization of the Higher Education Act, the College Work-Study (CW-S), and the Supplemental Educational Opportunity Grant (SEOG) programs. Individual institutions are free, within the regulations, to establish the parameters within which Campus-Based aid is awarded. Financial aid administrators at these institutions award Campus-Based funds, in conjunction with other programs, to meet student need as determined by a need analysis procedure approved by the Department of Education. Most often software is used to compute need according to the Uniform Methodology or summary need calculations supplied by service organizations. Campus aid administrators tailor awards to meet this need according to available funds, the institutional aid packaging policy, and any circumstances unique to the student. This aid packaging policy may dictate the sequence, amount, or types of aid given and the percentage of need met for different types of students.

Operationally, the administration of these three programs is significantly different from other Federal student aid programs. A financial aid officer at any of the participating institutions:

- Could choose in the 1985-86 program year from among a number of approved need analysis methodologies to calculate expected family contribution
- Could deviate from the expected family contribution in individual cases provided the adjustments are documented
- Could use one of several budgets to determine Campus-Based eligibility for each student
- Has wide discretion in the amount and composition (package) of Campus-Based aid awarded to students with varying levels of need
- Could, and in many cases had to, allow total Campus-Based aid to fall short of need unmet by other programs
- Had to follow three different sets of regulations governing the three Campus-Based Programs.

The Guaranteed Student Loan (GSL) Program provides the most financial assistance to postsecondary students of all the Title IV programs. It makes available to students attending eligible postsecondary institutions loan funds with which to meet educational expenses. The program uses capital provided through private-sector banks, savings and loan associations, credit unions, other financial entities, and educational institutions. Postsecondary institutions "certify" the loan application by providing key information that permits the lending institution to determine the applicant's eligibilty and loan amount.

Despite the structural differences among these five programs, many components of their delivery systems are similar, as shown in Exhibit 1-6. Students apply for financial assistance, providing information

	STUDENT APPLICATION	ELIGIBILITY DETERMINATION	BENEFIT CALCULATION	FUNDS DISBURSEMENT TO STUDENT	ACCOUNT RECONCILIATION
PELL GRANT				• ED establishes school's authorization level, notifies school • School draws funds from EDPMTS up to authorization level • School submits SAR's and Institutional Payments Summaries (IPS) on utilization of funds. ED uses reports to adjust school's authorization	
	• Student fills out Pell Grant or Multiple Data Entry (MDE) application	• Pell Grant processor computes Student Aid Index (SAI), an indicator of student's need, and produces Student Aid Report (SAR) • School determines if student (1) has sufficient need and (2) meets general eligibility criteria for Federal Aid • School validates application data of selected students	• School determines size of student's Pell Grant based on student's SAI, cost of attendance, and enrollment status (half, three-quarter, of full-time)	• School disburses Pell Grant award to student by payment period	• ED sends student payment summaries to school • Institutional accounts reconciled through the IPS • School collects overpayments, or refers cases to ED
CAMPUS-BASED AID	**INSTITUTION APPLICATION** • Institution fills out Application to Participate in Federal Student Financial Aid Programs (FISAP)			**FUNDS DISBURSEMENT TO INSTITUTION** • ED determines school's allocation • School draws funds from EDPMTS up to allocation level	
	• Student fills out approved needs analysis form	• Needs analysis service computes level of financial contribution expected from student's family • School determines if student (1) has need and (2) meets general eligibility criteria for Federal Aid	• School determines size of student's award based on student's need, availability of aid funds, and student aid packaging philosophy	• SEOG and NDSL: school disburses funds at least twice a year • CWS: School or employer pays student at least once a month	• School collects NDSL repayments • If it cannot collect, school has option to refer NDSL defaults on Fiscal-Operations Report (FISAP)
GSL	• Student obtains application from lender • Student fills out portion of application	• Institution determines categorical eligibility of student, enters cost of attendance	• Lender approves loan. • Lender forwards loan to guarantee agency for guarantee	• Lender sends check to student or institution, notifies ED of disbursement • ED bills lender for insurance premium • Lender requests interest, special allowance payment • Institution gives check to student or secures endorsement, retains institution's portion	• Lender submits annual call report • Lender contacts terminating student to set up repayment • Student repays loan or dies, becomes disabled, is judged bankrup, or defaults • Lender files claim with State Guarantee Agency (SGA) • SGA processes repayment claim and tries to collect on loan

EXHIBIT 1-6 COMPONENTS OF THE TITLE IV STUDENT AID DELIVERY SYSTEMS

related to family resources and household. Institutions determine the applicants' categorical eligibility for aid. Awards of aid are calculated based on eligibility, need, enrollment status, and cost of education. Funds are disbursed to students, either directly or through the institutions. Institutions must reconcile their accounts for each program and report to ED.

In the Pell Grant and Campus-Based programs, funds are disbursed to students through the institutions. (For a small percentage of Pell recipients, whose institutions do not participate in the program, funds are disbursed directly to students from the Federal government through the Alternate Disbursement System.) In the GSL program, students may receive their loans either directly from the lenders or from the lenders through the institutions.

The data used to determine financial need are virtually the same across all the programs. Students must provide information regarding family income (both taxable and nontaxable), expenses, assets, and household size and college attendance. In the GSL program, students with a family adjusted gross income (AGI) of less than $30,000 are assumed to be eligible for GSL's. Students with family AGI's of more than $30,000 must undergo eligibility determination based on need.

As noted above, application data are treated differently in the programs. In the Pell Grant program, a central application processor receives the application data, and adheres to a specific formula for determining need. In the Campus-Based programs, need may be determined by a need analysis service, or by the institution, and the program regulations allow for institutional discretion in adjusting individual items to accommodate specific student circumstances. In the GSL program, institutions mainly certify the students' enrollment status and categorical eligibility; the lender handles all other application procedures.

1.3 DATA SOURCES

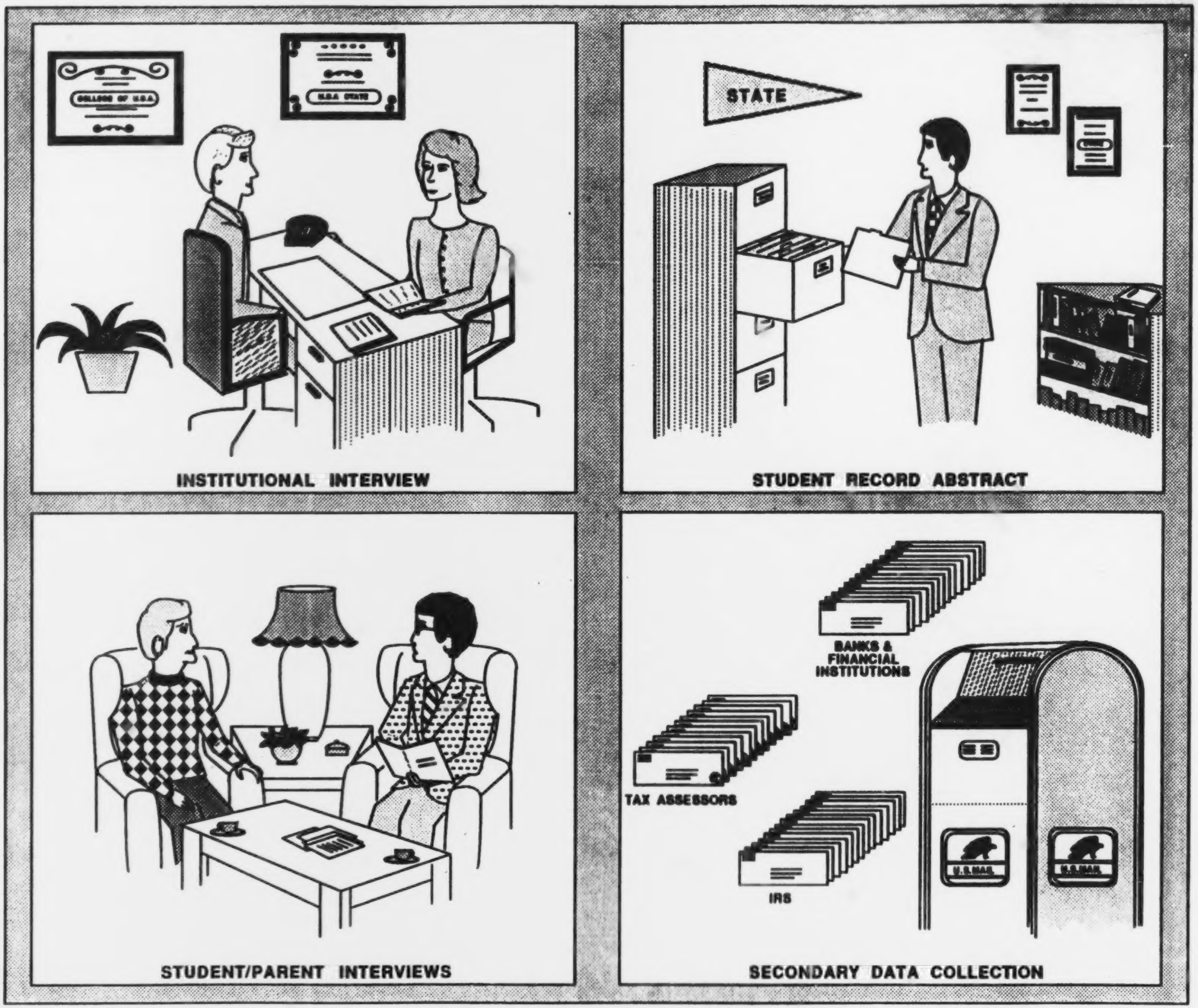
Advanced Technology, Inc., engaged Westat, Inc., of Rockville, Maryland, to perform field work and provide technical assistance in special areas such as sample design. Data for this study were collected from three sources: first, from institutions, second, from students and parents, and third, from "external" sources which could confirm data obtained from the student and parent data collection, as illustrated in Exhibit 1-8. In addition, data on Pell Grant recipients were abstracted from the Computed Applicant Record (CAR) maintained by the Pell Grant central processor. The selection of institutions and students will be discussed in detail in Chapter 3. The data collection activities are the focus of Chapters 4 and 5.

The institutional data collection consisted of interviews with the directors of financial aid at 297 institutions of postsecondary education and a detailed abstraction of information from the financial aid records of 2,996 students.

Institutional Questionnaire (IQ). The Institutional Questionnaire was administered to the financial aid administrator during an interview at each sampled institution. One of this questionnaire's major purposes was to provide information on institutional policies and procedures (primarily on need analysis, packaging, student eligibility, student enrollment status, cost of attendance, and disbursements) that might be required to assess institutional compliance with program requirements. This information was required to determine the student's correct need and to calculate the extent of error. We also used the information to identify institutional characteristics that could be correlated with the presence or absence of error in the analysis of possible corrective actions. We used the information collected during the interview in conjunction with information collected on individual students in the Student Record Abstract (SRA). The IQ also included a series of questions about institutional quality control procedures to determine the current level of institutional quality control and to identify those activities which could be correlated to reduced levels of error.

Student Record Abstract (SRA). The Student Record Abstract was used by the field data collectors during the institutional visits. Information from student aid files for each of the selected students at the sampled institutions was abstracted onto this form. The sections of the SRA and the purposes of each were as follows:

- General Eligibility -- to determine both the institutionally-used and correct student eligibility and enrollment status data
- Pell Grant Program -- to record data concerning the Student Aid Report and validation and to determine both the institutionally-used and best cost of attendance
- Campus-Based Programs -- to record data concerning need analysis, cost of attendance, awards, and specific program eligibility
- GSL Program -- to record data concerning need analysis, cost of attendance, other aid available, and loan eligibility


COLLEGE OF U.S.A.
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BANKS & FINANCIAL INSTITUTIONS
TAX ASSESSORS
IRS
U.S. MAIL
U.S. MAIL

INSTITUTIONAL INTERVIEW

STUDENT RECORD ABSTRACT

STUDENT/PARENT INTERVIEWS

SECONDARY DATA COLLECTION

EXHIBIT 1-7 STAGE TWO DATA SOURCES

- Documentation -- to record applicant-reported values, institutional adjustments to the application, and documentation found in the students' files
- Disbursements and Repayments/Refunds -- to record disbursements and related information by program and to determine what repayments or refunds were made and whether they were done properly.

The student and parent data collection consisted of in-person interviews with the sampled students and, if they were dependent, their parents.

Student Questionnaire (SQ). The Student Questionnaire was designed to obtain information and documentation to confirm or verify data reported on the aid application completed by the student. We used these figures in conjunction with other data to determine award errors and discrepancies in need calculation.

Parent Questionnaire (PQ). The Parent Questionnaire was designed in parallel with the SQ, but with items referring to the parent(s). If the dependency status of independent students was confirmed in the PQ, further questions, concerning income and assets, were omitted.

External Sources of Documentation (Secondary Data). During the conduct of the student and parent interviews, interviewers obtained permission for Westat to receive verifying information on income and net worth. Students and parents provided written permission for the release of Forms 1040, 1040A, or 1040EZ from the Internal Revenue Service and forms from financial institutions verifying the value of savings and checking accounts at the time of application, if the total amount of those accounts reported to the interviewer was unknown or $4,000 or more. For a sample of 25 percent of the respondents reporting home ownership, local tax assessor's offices were contacted to ascertain the approximate market value of the respondent's home or primary residence.

1.4 LIMITATIONS OF STUDY DESIGN AND METHODOLOGY

The study design and methodology employed in Stage Two of the Title IV Quality Control Project has been thoroughly tested and has proved to be both efficient and effective in producing important data concerning quality in the various Title IV student aid programs for policy making purposes. The methodology produces the most robust results at the program-wide level. However, the design necessary to produce these results coupled with the data collection and sample size restrictions imposed by cost considerations present limitations that must be explicitly stated in presenting the study methodology.

The Title IV Quality Control Project's primary objectives relate to measuring error and identifying and assessing the likely effects of corrective actions. The first objective, concerned with measuring error, is a prerequisite to the remaining objectives (which focus on corrective actions) and thus drives the study design. A design that maximizes the ability to measure and decompose error necessarily focuses on the numerous potential error points in the delivery system. Consequently, the greatest portion of data collection resources are dedicated to obtaining student application and institutional data related to the delivery system error points through student record abstraction, interviews, and obtaining data from banks, Federal agencies and other sources. Fundamentally, the study methodology becomes corroborative: the data collection seeks to obtain data from alternative, more reliable sources in order to confirm the validity of the data originally used to award aid.

The necessary dominance of error measurement in the study design has important implications for the ability to identify and assess the likely effects of particular corrective actions to reduce error. The first implication limits the identification of corrective actions for analysis to practices that exist at institutions. Second, given realistic resource constraints, data collection focused on institutional practices and characteristics and was limited to a small set of data that are hypothesized to relate to variation in error. Actively searching for other practices and characteristics would require different methodologies such as case study and process assessment techniques. In addition, no cost data are available for corrective actions, since this would also require different data collection techniques. Third, the sampling requirements for a national error study necessitate sampling a large number of institutions with a relatively small number of students at each. For these reasons, this sampling design maximizes the precision of program-wide error estimates. However, the number of students that can be sampled and the depth of the collection of institutional data are minimized due to cost and burden considerations.

Two other factors pose limitations for the study results. The data themselves pose important limitations for both characteristics associated with error and identification of corrective actions. The relative frequency and variation of certain types of error - particularly institutional error - virtually preclude meaningful analysis. For example, the occurrence of individual errors may be relatively infrequent, despite the magnitude of the payment consequences, and therefore not yield an adequate number of observations for analysis. In addition, error may not vary adequately across instrumental variables (e.g., institutional practices) to produce conclusions concerning the relationship between the dependent and independent variables. Frequently, error may be varying by other variables, for which we are unable to control due to the data collection focus.

Lastly, the sample size poses a limitation for analysis. A sample of approximately 300 institutions and 3,000 students will yield error estimates at the program-wide level that are sound for policy making purposes. However, precision of error estimates at this sample size (a function of cost) drops as error is decomposed into sources and especially individual errors. The combination of the relative infrequency of certain individual errors and the implication of the overall sample size at this level effectively limit the analyses that can be conducted.

Despite these limitations, the design methodology effectively produces robust, important policy making data concerning quality in the Title IV student aid programs and powerful data concerning corrective action initiatives at high levels of aggregation.

1.5 RELATIONSHIP TO OTHER VOLUMES OF THE FINAL REPORT

The final report on Stage Two of the Title IV Quality Control Project consists of this report plus two other numbered volumes and an executive summary. The executive summary includes material from all three numbered volumes.

Volume I of the final report, Findings, presents the principal findings regarding the level and sources of error and the most significant individual errors and groups of error in the Pell and Campus-Based programs and the GSL certification process. The analysis in that volume includes institutional and student characteristics that are associated with error.

Since definition and measurement of error is closely associated with the substantive findings, we have discussed definitions and measurements in detail in Volume I; this discussion is summarized in Chapter 2 of this volume.

Volume II, Corrective Actions, is based on Volume I. In it we recommend those corrective actions which appear to be most promising in reducing the amount of error in the various programs.

In this report, Volume III, Procedures and Methods, we present the methodology used in conducting the study, including sampling, data collection and data processing, and the level of nonresponse and estimates of variance and their effects on the sample.

2

ERROR DEFINITION AND ERROR MEASUREMENT

In this chapter we will discuss how we have defined error in Stage Two in the context of Stage Two objectives and how these error definitions relate to previous studies. We will review the major objectives and findings of the previous studies as they have influenced our current emphasis on errors that affect the redistribution of program funds. We will present and discuss the measures of error by program, as they were developed to reflect specific program structures. Finally, we will discuss aggregation of error into program-wide estimates of error.

As stated in Chapter 1, the objectives of Stage Two of the Title IV Quality Control Project are to measure error in five Title IV programs; to determine the extent to which error has persisted in the programs and the existence of patterns of error; to assess the effectiveness of prior corrective actions in terms of both error removed and residual error; and to recommend corrective actions to further reduce error and maintain program intent. These objectives have guided the study design for Stage Two, and shaped our approach to error definition. They are a direct result of the objectives and findings of earlier QC studies.

The incidence of errors in Stage One was similar to the findings from the Pell QC Study. Student misreporting was a major source of error.

Because all programs have similar application processes and procedures at the institutional level, a Title IV-wide focus to both error measurement and management corrective actions is appropriate.

2.1 ERROR DEFINITION

Our approach to error definition and error measurement in Stage Two defines error as the difference between need or award calculated using data reported by the student and/or used by the institution - referred to as baseline data - and "best value" data, which is data obtained during the course of data collection that are considered the most accurate and reliable data available. Our methodology is designed to do this by collecting data from students, parents, institutions, and external sources to confirm the values used in calculating need and award. In the absence of such confirmatory data, for any given item, the value reported by the student is accepted and used for analysis purposes as the best value.

Stage Two is unique in that it measures errors in all five (Pell, three Campus-Based programs and GSL) Title IV programs. However, differences among the programs require the use of different error measures and avoidance of comparisons of data that are not comparable. For example, it is inappropriate to compare program-wide payment error in the Pell Grant program with awards in excess of need in the Campus-Based programs, since the former is directly related to the distribution of Federal program funds, while the latter is not. Rather, we have stressed cross-year comparisons as relevant since they provide indications of the trends in program error estimates.

2.2 MEASUREMENT OF ERROR

Measurement of error in the Pell, Campus-Based, and GSL programs requires the use of several conceptually distinct error definitions due to the unique characteristics of each program. For example, because Pell is a formula-driven entitlement program, changes in a given reported data element will have a known effect on the applicant's Student Aid Index and Pell Grant award at a given enrollment status and cost of attendance. Thus, such changes, and therefore error, can be modeled precisely.

The characteristics of the Campus-Based programs require a distinct and different approach to conceptualizing and measuring error. The purpose of Stage One was not to find common ground with Pell, but to address unique aspects of the Campus-Based and GSL programs, where errors do not always translate directly into award changes or actual cost to the Federal government. For example, changes in Campus-Based need may occur, but because institutions frequently do not meet full need, need changes do not necessarily result in award changes. However, even if awards were to change, the Campus-Based funds, allocated to institutions for distribution to students, would be reallocated to other students or to more students, rather than returned to the Treasury.

In the Campus-Based programs, need analysis (e.g., Family Contribution Schedule and need analysis service formulas) performs a function much like the Pell formula, but the resulting expected family contribution (EFC) does not determine an award; rather, the EFC is used by institutions as an input to discretionary packaging algorithms (formal or informal) to meet a fixed or variable portion of need with a grant, loan and/or work. Thus, the effect that changes in student-reported data, for example, will have on awards can only be estimated. Analysis of error in Campus-Based need is a necessary intermediate step and an important measure of the impact of student errors and other errors in the programs. However, because of the intervention of institutional discretion, need error cannot be used as a proxy for error in awards, since need changes often do not result in dollar-for-dollar changes in awards.

The regulatory definition of error, defined as awards made in excess of need, is not an entirely satisfactory measure; it underestimates the likely impact of need changes because few institutions meet full need. For example, a student whose Campus-Based need falls from $10,000 to $5,000 and received a total of $5,000 in Campus-Based aid would have no award in excess of need and, thus, no error, despite errors having caused a substantial need change.

Thus, an additional measure of error must be used in assessing quality in the Campus-Based programs: distributional error. This measure uses packaging algorithms that are developed from actual institutional policies and constraints to repackage Campus-Based awards for students with need changes. It has the effect of simulating what institutions **would have awarded**, all other things being equal, had best values been available when aid was originally awarded. Distributional error more closely estimates the total impact of errors in the Campus-Based programs.

Measurement of error in the GSL program presents other methodological problems. Unlike the other Title IV programs, institutions play a limited role in the GSL program: certifying the amount for which a student is eligible. Program limits, students who apply for specific amounts, and lenders and guarantee agencies jointly determine the actual loan amount. Often, institutions may not know the exact loan amount, or if the student even completed the loan process and received a loan. Therefore, because the study design focused on the institution, measurement of error focuses on certification rather than other, non-institutional aspects of the GSL delivery system.

2.2.1 Error Measures

The above-mentioned considerations require five different aggregate error measures for the three programs. Programmatic and measurement differences make these error measures incomparable, since identical errors translate into payment consequences at different rates in each of the programs. Thus, the relevant comparison for each error measure is with studies in prior years. These error measures are as follows:

- **Pell program-wide payment error** is a measure of differences between actual awards generated from reported data and best awards using best data. This is a measure of deviation from quality in the program.
- **Campus-Based need error** is a measure of the impact of student reporting error and certain institutional errors in Campus-Based need. This is computed by comparing reported need used by institutions to package awards with best need calculated using best values. Need is the simple difference between the cost of attendance, and family contribution and other resources.
- **Campus-Based awards in excess of need** is a measure that approximates the regulatory concept of error in that only

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those need changes that fall below award are considered in error.

- **Campus-Based distributional error** is a measure that more closely approximates the likely payment consequences since all need changes are considered and repackaged to simulate institutional packaging.

- **Guaranteed Student Loan certification error** is a measure of the aggregate change in certifications when best cost of attendance, need and other aid are substituted for reported data. Certifications are capped at the 1985-1986 program limits of $2,500 for undergraduates and $5,000 for graduate students.

These error measures will be decomposed into two types of error: student reporting error - which is used to motivate corrective actions rather than assign responsibility - and institutional error. The definitions are as follows:

- **Student reporting error** is the result of recipients providing inaccurate data at the time of application and subsequent to it. This decomposition is silent on whether the error was conscious or inadvertent or whether it was true at the time and subsequently changed.

- **Institutional error** is the result of institutions using incorrect data in awarding, processing or disbursing aid and includes errors that affect student need, "categorical" eligibility, disbursements, and required procedures (mostly collection of documentation).

These errors will be decomposed further to identify significant individual or groups of errors as a basis for corrective actions analysis.

2.2.2 Effects of Best Values Selection on Error Measurement

The instruments and data sources that constitute data collection provide the foundation for selecting the best values for each application item required for determining eligibility for each program in the study. Since error is based on the difference between values reported on the aid application (or used by the institution) and best verified values, error measurement is only as accurate as best value selection. By the time data collection ended, many questions had been asked to confirm or deny the veracity of the values shown on the application for financial aid. These application items fall into seven major categories:

- Dependency status
- Taxable income and taxes paid
- Other nontaxable income
- Offsets to income (including household size, number in college, employment expenses, and other expenses that reduce available income)
- Assets and debts
- Other educational benefits
- Dependent student's income and assets.

These student and parent data are used to derive the Pell Student Aid Index (SAI) and the expected family contribution (EFC). In the Campus-Based programs, and under certain circumstances GSL, the SAI and the EFC are two of the indices on which awards are based.

Since costs of higher education vary greatly due to differences in tuition, fees, and living expenses, we also confirmed the accuracy of the figures used by the institution to determine cost of attendance. In addition, we checked various student eligibility requirements, program requirements, student enrollment status records, and disbursements, as required by the regulations for the Pell, Campus-Based, or GSL programs.

The multiple data sources used in the study meant that many different values could have emerged during the course of checking on application values of students and parents. If these values were consistent, best value selection was a simple matter. If these values differed, however, a method was required to determine the best values. The best value was the one that was documented and came from the most reliable source. This was determined by merging the data from the various sources and selecting the best value using a SAS program designed for that purpose. The program was designed to select a value from a hierarchy of sources. Because the program selected the most reliable documented source, it selected the "best" or most reliable value available. In all cases, however, the program defaulted to the value reported by the applicant if more reliable data were not available. Refer to Chapter 6 for more information on best value selection.

2.3 COMPUTATION OF ERROR

The purpose of this section is to provide the reader with sufficient general knowledge to understand how we arrived at the error figures. These general computational procedures were developed specifically for this study and are based on the data available. They have been expanded into the necessary technical specifications in the software developed for error computation.

2.3.1 Pell Error

The Pell award is a function of SAI, cost of attendance, and enrollment status. In addition, students must meet certain eligibility requirements to receive an award. Three separate Pell awards are used in calculating Pell errors:

- Best Pell Award: The award that should have been disbursed if there were no errors committed at any point in the award process. It is calculated using all best data, including best SAI, best cost of attendance, best enrollment status, and best eligibility.
- Best Institution Pell Award: The award that should have been disbursed if there were no institution mistakes committed during the award process. It is calculated using the SAI reported by the student, and best institution data, including best cost of attendance, best enrollment status, and best eligibility.
- Actual Pell Award: The award actually disbursed by the institution. It is equal to the total of actual and planned disbursements.

Comparisons of these three awards yield total, student, and institution errors in the Pell program:

- Overall Error: The amount by which the award disbursed differed from the award that should have been disbursed. It measures deviation from quality in the program and is equal to the Actual Pell Award minus the Best Pell Award.
- Institution Error: The amount by which the award disbursed differed from the award that should have been disbursed if no institutional mistakes were committed. It equals the Actual Pell Award minus the Best Institution Pell Award.
- Student Error: The impact of recipients providing inaccurate data at the time of application or subsequent to it. It equals the Best Institution Pell Award minus the Best Pell Award.

Both overall and institution errors are relatively straightforward concepts. Student error, however, is somewhat more complex. By calculating student error as the difference between the Best Institution Pell Award and the Best Pell Award, we are measuring the impact of student errors in the SAI, holding institutional parameters constant at best values. Measuring student error in this way ensures that in an individual case, student and institution errors do not exceed the amount actually disbursed. For ineligible students who should not have received any award, student error will be zero while institution error will equal the amount actually disbursed. Special condition filers are also defined to have no student error by setting best SAI equal to reported SAI. Student error cannot be measured for special condition filers because their awards are based on different data elements than the other recipients.

2.4 CAMPUS-BASED NEED ERROR

The general formula for computing need is:

Need = Cost/Enrollment status - Pell - EFC - Other Known Aid - (GSL Resource)

Cost/Enrollment status refers to the appropriate cost of attendance at a given enrollment status level. From that we subtracted the amount of the Pell Grant, the expected family contribution, the amount of other known non-Federal aid (e.g., state, institutional, or private loans or grants), and the GSL resource. For Campus-Based need, a GSL resource must be subtracted as another source of aid if the GSL was certified by the date that the Campus-Based aid was packaged. The GSL resource is the amount borrowed. If AGI is $30,000 or less, the GSL resource is the amount, if any, by which borrowing exceeds EFC (i.e., if AGI is $30,000 or less the EFC may be borrowed and so should not be considered a resource in computing need). If the GSL was certified after Campus-Based aid was awarded, we considered the GSL resource to be zero. We made this assumption to avoid holding institutions responsible for a GSL resource that they may not have known about or reasonably anticipated at the time that the Campus-Based aid was packaged.

To compute error, we calculated need in two ways. One way used reported values and the second used best values. Both calculations used the general formula above. The difference between these two calculated need figures is overall need error in its simplest form:

Overall Need Error = Need Based on Reported Data - Need Based on Best Data

For both need based on reported values and need based on best values, we followed specific procedures concerning the source of the values used in the calculation. For reported need, we used the values actually used by the institution for cost/enrollment status, Pell Grant, EFC, other known aid, and GSL resource.

Calculation of need based on best values is considerably more complicated than reported need. One reason is that we must calculate best need differently for overall error, student error, and institutional error. While we used best values for both student and institutional variables in best overall need, for best student need we had to separate out the effects of student/parent misreporting. For best institutional need we used best institutional values, but kept student values constant at the reported level to separate out the effects of institutional errors.

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to be taken into account at the time of Campus-Based packaging or GSL certification and any changes in Pell could significantly affect the remaining need. Best Pell was used in the Campus-Based need calculations whether or not the student received a Pell award. Pell was required to be counted as a resource by schools whether accepted or not by the student.

For other known aid, however, the amount listed in the student's file was used in best award computation. This is because other known aid consists of non-Title IV aid for which we had no means to calculate what changes, if any, would be made as a result of changes in application values. An other aid error can occur, however, if an institution fails to include the total amount of other aid found in the student's file in calculating need.

If Campus-Based aid is packaged after GSL (this determination is made based on questions in the SRA and the timing of award amounts), then the best value of the GSL resource was considered in determining Campus-Based need. We assumed that a GSL is first used to offset the family contribution to the extent possible and that only the amount remaining is considered as a resource for Campus-Based award. The "best" GSL resource is the minimum of the GSL award actually received by the student and the determination of "best" GSL need for that student; for students with AGI's under $30,000, the best EFC is subtracted from this amount to arrive at the best GSL resource. Defining the best GSL resource in this manner avoids double counting the error associated with a given case and prioritizes the aid in the same manner used by the institution.

When calculating institutional error, we used the best value for cost/enrollment status and the values listed in the file for other known aid. For Pell, EFC, and GSL resource, we used best values for institutional components and reported values for student components. Together, this yields a figure that indicates what the institution would have done if it made no errors when using the student reported values. This is then subtracted from a need figure which was calculated using all reported values.

When calculating student need error, best institution need is subtracted from best need and the difference is added to reported need. (Need determined using all reported values.) This yields a student need value that reflects what would have been used by the institution if the student made no errors, assuming that the institution's behavior remained unchanged. This is then subtracted from a need figure which was calculated using all reported values.

One of the hallmarks of the Campus-Based programs is the discretion granted to financial aid administrators to adjust applicant information to reflect changed circumstances that are not considered in the EFC generated by the need analysis. We anticipated these adjustments to individual items in our design of the SRA and in our selection of best values. If an item adjustment is explained or documented in the student's file, it is used as the best value and there is no student error. If the adjustment is not explained, we considered the omission an institutional error that affected determination of need, with error as the difference between the unexplained adjusted value and the reported value. When calculating institutional error, we used the unexplained value with the institution values, but the student reported value with the other institutional best values. In addition, student error would be calculated using the difference between the best value and the student reported value. Overall error for an unexplained adjustment is the best value minus the unexplained adjusted value, because that is the value the institution actually used.

In addition to or instead of adjusting individual items, institutions may adjust the EFC either after calculation by the need analysis service or by specifying a variety of institution options in the calculations of EFC performed by the service. A review of the SRA data on EFC has revealed these practices to be widespread. Furthermore, the adjustments to EFC made by the institution are often impossible to replicate, either because they are outside the need analysis formula or because the details on options specified to the need analysis service are not available from the SRA.

In order to more properly assess the change in EFC which results from error in the detailed application items or EFC components, we calculated best EFC for all cases as the sum of the reported EFC and the difference between two calculated EFC values. The first EFC value was calculated using all best values (treating explained adjustments as best values). The second EFC value was calculated using all reported values. Thus,

Best EFC = ((EFC calculated using best values)
- (EFC calculated using reported values))
+ Reported EFC

The following example should clarify this procedure. An AGI error exists such that EFC calculated using all best values equals $5,000, while EFC calculated using reported values equals $4,500. Thus, the AGI error leads to a need error of $500. While the EFC calculated using reported values equals $4,500, the EFC value used and reported by the institution equals $3,000. For study purposes, the best EFC would then be equal to $3,500 = (($5,000) - ($4,500)) + $3,000. This indirect method of determining a best EFC has the effect of controlling for legitimate adjustments made to the EFC by institutions and not captured by our data collection. Thus, such adjustments are not counted as errors.

If the need analysis system used by the institution was CSS, ACT, Pell FC, or SAI (as it was in nearly 94 percent of the cases) we used that need analysis system. For the remaining cases, we used the next closest need analysis system, which, in most cases, yielded an EFC within $10 of the EFC generated using the less frequently used system. (These $10 discrepancies were usually due to different rounding conventions.) Thus, we established a $10 measurement tolerance for EFC such that differences of $10 or less were considered zero.

2.5 GSL CERTIFICATION ERROR

As previously discussed, we have not reported GSL need errors in this volume. The reason for this is simple: GSL certification is GSL need capped at the annual program limits of $2,500 for an undergraduate student and $5,000 for a graduate student. Uncapped GSL need error has no value in helping us understand the causes of error or suggesting corrective actions, since certification is always capped. Nonetheless, we did compute GSL need as an interim step in determining GSL certification error.

The computational procedures for GSL need are virtually the same as those used for Campus-Based need. Thus, rather than reiterating our discussion of need error for the GSL program, we will highlight the differences.

The basic formula for GSL need error is the same as that for Campus-Based need error, reported need minus best need. GSL need is determined the same way as Campus-Based need except we subtracted Campus-Based award rather than the GSL resource. Thus:

Need = Cost/Enrollment status - Pell - Other known aid - Campus-Based Award

Campus-Based award is subtracted only if Campus-Based aid was packaged on or before the date of GSL certification. The Pell Grant subtracted may be an actual or estimated amount. Reported need figures for GSL are taken from the application and certification form. These reported values are those actually used by the institution.

Like Campus-Based need, determining the components of GSL best need is more complicated than reported need. Best overall need is straightforward, and uses all best student and institutional values. For institutional need, best values are used for institutional components and reported ones for student components. When calculating student need, best institution need is subtracted from best need and the difference is added to reported need. In both cases, these calculated best values are subtracted from the need values calculated using all reported data.

The amount of Campus-Based award factored into best GSL need depended on the packaging dates. We included in this amount any Campus-Based aid that the institution had packaged by the certification date, holding institutions responsible only for amounts that were known at that time and should have been included. Non-Federal other known aid was again based on the values listed in the student's file since calculating best values for other aid was not feasible for the reasons discussed above.

The discretion granted to financial aid administrators to adjust items used in EFC applies only when a Campus-Based need analysis system is used. Practically speaking, it is only of concern for GSL if the AGI is greater than $30,000, since EFC is assumed to be zero for GSL when AGI is $30,000 or less.

In general, the procedures used for calculating GSL EFC when AGI exceeds $30,000 are the same as those for Campus-Based. Best EFC is the difference between EFC computed using best values and EFC computed using reported values, added to the actual EFC reported on the GSL certification. However, if the GSL Tables were used, EFC could be calculated directly because no adjustments are allowed to be made to the GSL Tables. Also, if the student received Campus-Based aid, the Campus-Based EFC's were used in GSL.

Once the reported and best GSL need figures were calculated, they were converted into reported and best GSL certification. The reported need frequently was capped at appropriate program limits by the institution in the maximum loan eligibility category on the certification form. If it was not, we checked reported data on the year in college and presence of a B.A. degree. The reported GSL certification for an undergraduate was $2,500 (or $5,000 for a graduate student) or the need, whichever was less. Best need was capped at program limits in the same way. This yielded values for reported GSL certification and best GSL certification. Error was measured as follows:

GSL Certification Error = GSL Reported Certification - GSL Best Certification

In order to estimate error in the GSL program we focused on the point in the delivery system that institutions certify students' eligibility for loans and determine the maximum loan amount. However, because not all students borrow the maximum amount, and because students pay these loans back over a payment period of up to 10 years, GSL overcertifications is not an accurate estimate of cost to the government. ED is responsible only for interest payments while these students are in school or other deferment periods, the special allowance subsidiary to lenders, and for the remaining balance on defaulted loans. Since some of these costs are tied to the interest paid on U.S. Treasury notes (T-Bills), costs vary substantially as the rate of interest rises and falls. On average, costs per dollar loaned ranged from $.342 with T-Bills at 5.5 percent to $.676 with T-Bills at 10 percent. These figures were provided by the Department of Education and represent their estimate of the low and high range of net cost per dollar loaned. ED's best estimate of costs is $.437 per dollar loaned based on a T-Bill rate of 6.6 percent. In order to estimate the costs to the government of GSL overcertification, we used the average rate of borrowing per dollar of certification (84 percent) to translate overcertifications to loan amounts and multipled those amounts by the cost ranges.

2.6 CAMPUS-BASED PAYMENT ERROR

Campus-Based need errors cause overpayment error only when need falls below the amount of aid awarded.

The basic formula for payment error is:

Payment Error = Campus-Based Aid - Best Campus-Based Need

Since overpayment errors can occur only when best need is less than the amount of aid received, payment errors are always positive. In calculating student and institution payment errors, best Campus-Based student need or best Campus-Based institution need were substituted for best Campus-Based need. No matter what the magnitude of need errors, need was always capped at a minimum of zero so payment error could not exceed the amount awarded.

In the formulas for payment error, the value used for Campus-Based aid was usually the amount of aid accepted by the student from all Campus-Based aid sources. Some exceptions to this policy have been made. For SEOG and NDSL aid, for example, we used the amount of all disbursements if it was less than aid accepted, to reflect the fact that in some cases, awarded aid was later reduced by the institution. For CW-S aid we used the amount accepted or the amount disbursed, whichever was greater. When computing disbursement error payment consequences, we always used the amount of aid disbursed.

2.7 CAMPUS-BASED DISTRIBUTIONAL ERROR

For distributional error we estimated the payment consequences of all need changes, not only those that fall below award. These payment consequences measure the anticipated redistribution of funds if packaging guidelines used by the institution were followed for best need. We used two types of measures in our formula for the calculation of payment error. First, we looked at the initial proportion of total aid represented by each of the Campus-Based programs for each student. We retained these proportions in our repackaging of aid. Second, we included several questions in the Institutional Questionnaire (IQ) to allow us to replicate institutional packaging practices and constraints. We selected eight of the most frequently applied general practices and constraints for use in repackaging. Five of these applied to the three Campus-Based programs and three applied to all aid, by undergraduate or graduate status. The three packaging constraint questions asked concerning all aid, for undergraduates and graduates, respectively, were:

- Limit total award to $____
- Limit awards to students with at least $____ of need
- Always have $____ of unmet need.

The five constraints that institutions were asked if they place on each of the three Campus-Based awards were:

- Maximum EFC
- Maximum dependent parent's AGI
- Maximum independent student's AGI
- Minimum award
- Maximum award

For each question answered "yes," the institution was asked the dollar amount or percent applicable. The repackaging measure only applied these constraints to students with need error. By definition, students without need error had no distributional error. Also, if the school violated its own packaging guidelines, distributional error was capped at need error to ensure that error was not attributed to schools for not following their packaging policies.

2.8 LIABILITY

Previous quality control studies have evaluated the broad delivery process, including in error definitions discrepancies that are not strictly regulatory violations. The goals of the studies have been to evaluate deviation from the intent of various aspects of the delivery system. For example, the studies have explored whether estimated or prospective applicant data are accurate predictors in an attempt to evaluate the effects of such data on the distribution of program funds to students.

In Stage Two, we continue to distinguish between liability according to program regulations and the measurment and analysis of error that will accurately reflect deviation from quality in the delivery of Title IV funds. Our study design focuses on errors leading to measurable payment consequences, and particularly those errors which prior studies have indicated occur with a degree of frequency.

This is consistent with the study objectives, stated in Chapter 1, which encompass the determination of error in the Title IV programs, patterns of error across the programs, and the effects of prior and potential corrective actions. These objectives require an approach to error measurement that focuses on the broad functions of the delivery systems and the achievement of program intent.

Liability, as a narrower approach to error measurement, is an important subsidiary concept in error measurement, but does not constitute a comprehensive reflection of deviation from quality in the Title IV programs.

2.9 AGGREGATION OF ERROR

The Stage Two study design maximizes the precision of estimating aggregate error for each of the three Title IV programs, Pell, Campus-Based, and GSL. The design provides a national sample of recipients and thus a rich recipient data base. Institutional data are collected to provide information with which to recalculate recipient awards and institutional characteristics for analysis. The sampling design selects a small number of students from each institution among a large number of institutions. This design provides adequate precision for aggregate error estimates.

2.9.1 Program-wide Error Aggregation

We developed program-wide estimates -- totals, averages, and proportions -- from individual student records using information from the sampling procedures and certain program information. Each student record had three estimation weights, one for Pell program estimates, one for GSL estimates, and one for Campus-Based estimates. These weights differed across students in each school and across institutions for each program.

The general form of the estimators is as follows:

Totals: $\hat{X}_k = \sum_i \sum_j w_{ijk} X_{ijk}$

Means: $\hat{\bar{X}}_k = [\sum_i \sum_j w_{ijk} X_{ijk}] / [\sum_i \sum_j w_{ijk}]$

Proportions: $\hat{P}_k = [\sum_i \sum_j w_{ijk} \delta_{ijk}] / [\sum_i \sum_j w_{ijk}]$

The i subscript refers to students, j refers to schools, and k refers to the program. In the formulas above, w_{ijk} refers to the weight for student i at school j for program k; X_{ijk} is the value for a characteristic or variable (in this study the value of a particular error) for student i at school j for program k; and $_{ijk}$ is a variable which equals 1 if the student possesses a particular categorical characteristic (the occurrence of a particular type of error) and 0 otherwise. (For students in only one program, the weight variable takes on a value of zero for the other programs.)

We made estimates for subgroups of the overall populations by selecting only the records of the desired subpopulations or subgroups; these records included the weights and student characteristics. The weights were developed as the product of two components: the inverse of the selection probability for all programs, and the inverse of the response rate for students with similar characteristics.

Estimators using only the inverse of the sampling probabilities are unbiased, minimum-variance, efficient estimators. The sampling weights for this study were based on the probabilities associated with the following sample selection steps:

- Selection of the geographic cluster
- Selection of the school within the cluster
- Selection of the branch for schools with multiple campuses
- Selection of the student from the appropriate program (Pell, GSL, or Campus-Based) list at the institution.

Probabilities at the final stage reflect the possibility that certain students had more than one chance of selection if they participated in more than one program.

The development of the second component, the adjustment for differential nonresponse rates, is discussed in Chapter 3, Section 3.5. This factor adjusted for any bias that would have arisen if the expected values of the characteristic of interest differed for the subgroups which had different response rates. It did not adjust for bias introduced by differences in the expected values of the characteristic of interest between respondents and nonrespondents.

2.9.2 Analysis of Overlapping Errors in the Title IV Programs

Many of the potential errors in the Title IV programs involve the same funds, and many errors individually cause a whole award to be considered in error. Therefore, we developed methods to prevent multiple counting of error in the individual cases on which program-wide estimates were based.

First, we analyzed individual student and institution data items to determine their specific contributions to potential errors in the calculation of need, program eligibility, award calculation, and disbursement. We measured the change in need attributable to misreporting of income, assets, expenses, family composition, or other factors used to calculate need. No individual application error, which affects the calculation of the student's need, can automatically invalidate an entire award. However, the interactions of changes in various elements of the need formulas (from reported to best values) are complex, and total need change can be more or less than the sum of need changes attributable to individual errors.

Therefore, the effects of changes in individual need-formula components were calculated by substituting in the formula only the best value for that item, retaining reported values for all the rest. Total need change was calculated separately by replacing all reported values with best values. For example, in a given case, a change in AGI may appear to affect a student's need, but may be cancelled out (or, conversely, magnified) by a change in family size, depending on the direction of each change.

Institutional errors in need calculation also affect the amount of need, but do not invalidate an entire award. Institutional errors, also, were calculated singly by substituting a single best value, while retaining reported values for all other elements of the need formula. Then we replaced all institutionally-determined elements of the formula with best values while retaining reported values for all application items, and obtained total institutional error figures.

3

SAMPLING

The Stage Two sample was designed to represent all students participating in one or more of the Title IV programs during the 1985-86 school year. The development of an efficient sample design involved several stages, resulting in a self-weighting probability sample. In addition, Appendix A contains a discussion of estimates of statistical precision and components of variance that were considered in the sample design. Chapter 7 of this volume includes a discussion of sampling error in the actual sample.

Based on the results from Stage One and the precision requirements of Stage Two and available funds, we chose a target sample of 300 participating institutions and approximately 3,200 students.

3.1 FEATURES OF THE SAMPLE DESIGN

The sample design specified a series of procedures in order to ensure a nationally representative sample of Title IV recipients, as shown in Exhibit 3-1. Because there was no sampling frame or list of all Title IV recipients from which a simple random sample could be drawn, we first constructed a master sampling frame of institutions participating in the Pell Grant and/or Campus-Based aid programs, and a sampling frame of GSL-only institutions. We had to construct such a frame from existing separate lists of institutions participating in the Title IV programs.

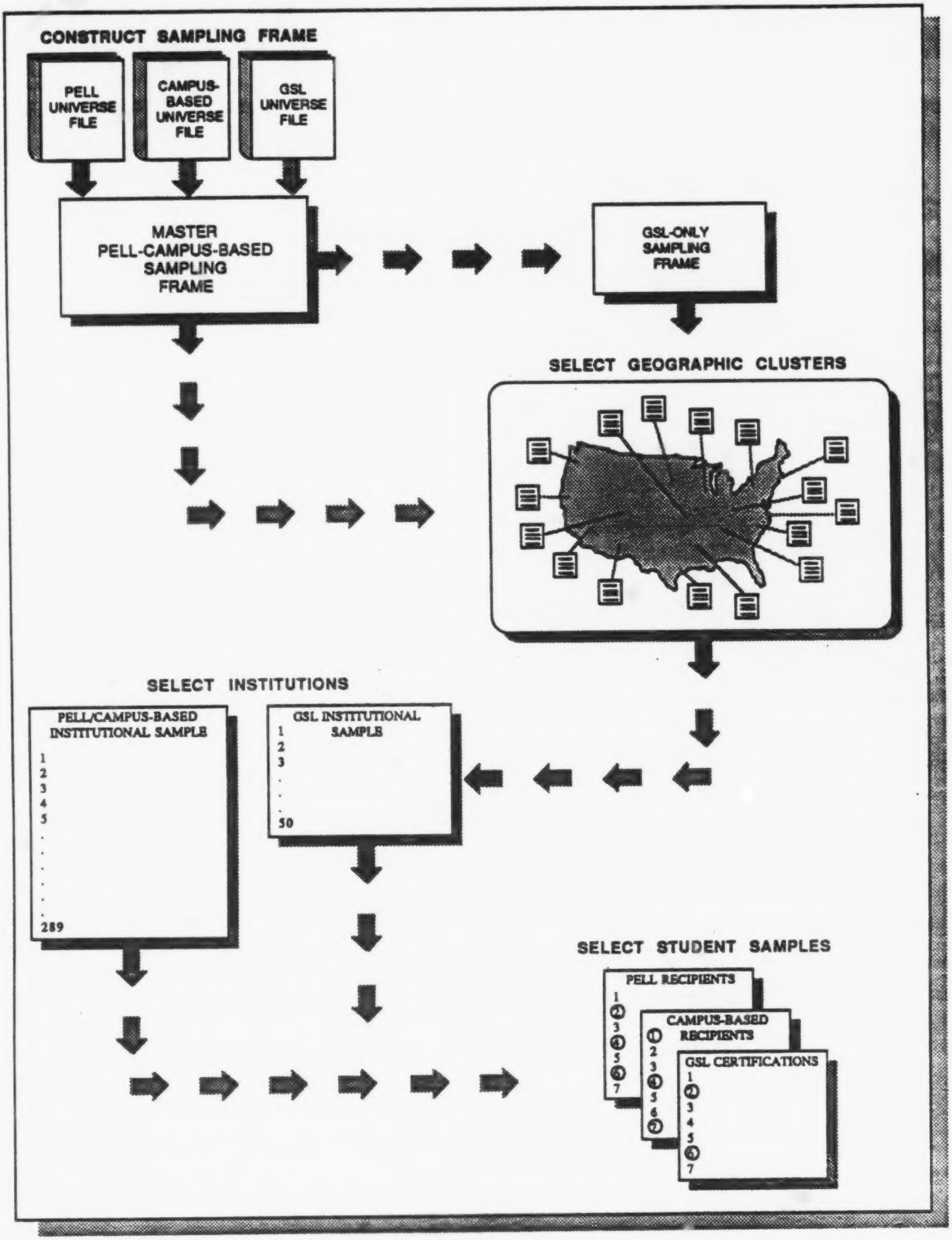
CONSTRUCT SAMPLING FRAME
PELL UNIVERSE FILE
CAMPUS-BASED UNIVERSE FILE
GSL UNIVERSE FILE
MASTER PELL-CAMPUS-BASED SAMPLING FRAME
GSL-ONLY SAMPLING FRAME
SELECT GEOGRAPHIC CLUSTERS
SELECT INSTITUTIONS
PELL/CAMPUS-BASED INSTITUTIONAL SAMPLE
1
2
3
4
5
289
GSL INSTITUTIONAL SAMPLE
1
2
3
50
SELECT STUDENT SAMPLES
PELL RECIPIENTS
1
②
3
④
5
⑥
7
CAMPUS-BASED RECIPIENTS
①
2
3
④
5
6
⑦
GSL CERTIFICATIONS
1
②
3
4
5
⑥
7

EXHIBIT 3-1
MAIN FEATURES OF THE STAGE TWO SAMPLE DESIGN

We then divided the contiguous 48 states into 100 geographic sampling clusters based on zip codes from the master Pell-Campus-Based sampling frame. Cost limitations required that both institutions visited and students interviewed be clustered geographically to minimize the time and expense of travel for both institutional data collectors and interviewers of parents and students.

The next stage of sampling was the selection of institutions within sample clusters. Because of operational and cost constraints it was desirable to select a single institution sample, rather than separate institution samples for each of the programs within Title IV. This required the development of a measure of size for sample selection that would result in the most efficient institution sample under the one-sample constraint. Two hundred and eighty-nine institutions were selected from the 100-cluster master frame, with probability proportional to a measure of size. Fifty institutions were also selected, with equal probability, from the GSL-only frame. Although our overall target was 300 schools, we deliberately oversampled the GSL-only schools because of the poor quality of data on the GSL tape, i.e., numerous institutions were out of business or could not be located.

Finally, students within institutions were sampled from lists of Pell and Campus-Based recipients and GSL certifications, obtained by field staff during the institutional visits. Since we had distinct sample size goals for each program, separate sampling lists were required for each program. Where a student participated in more than one program, the sample from which the student was actually drawn was used for determining

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the sampling response rates; all programs from which the student received aid were considered in the analysis of the data.

3.2 SAMPLING FRAMES

The Stage Two sample design specified a clustered multi-stage sampling procedure involving, first, the selection of postsecondary institutions and, then, of students within the selected institutions. To carry out the selection of institutions, it was necessary to obtain or construct a complete list of institutions in the universe of interest; that is, those participating in one or more of the Title IV aid programs. After sample institutions were identified it was necessary to obtain lists of students in the programs of interest. This section describes the approach followed in the construction of these sampling frames.

3.2.1 Institutional Sampling Frame

The ideal institution sampling frame for the study would consist of all postsecondary schools which either had participated in Pell or Campus-Based programs in academic year 1985-86 or had certified one or more students for a GSL for the same time period. Also, the ideal frame would have a measure of size - the number of participants or certifications or at least enrollment - for each program present at each institution.

The sampling frame was constructed by merging four universe files we obtained through the Department of Education (ED):

- Institutions receiving Campus-Based funds in academic year 1984-85
- Institutions with students receiving Pell grants in academic year 1984-85, and 1985-1986
- Institutions with GSL certifications in academic year 1984-85 or earlier.

The first step in constructing one sampling frame from the universe files was to determine what institutions from each file were eligible for inclusion in the sampling frame. The eligibility requirements for institutions for each file were:

- Pell:
  - -- Eligibility code equal to "1," indicating that the institution was eligible
  - -- Exclusion of institutions whose students may receive Pell Grant funds only through the Alternate Disbursement System
- Campus-Based:
  - -- Eligibility code equal to blank, indicating that the institution was eligible
  - -- The institution applied for and received funds for at least one of the three Campus-Based programs for academic year 1984-85
  - -- Codes for institution type and control were valid
- GSL:
  - -- Eligibility codes equal to "G," "I," "K," and "O" were excluded
  - -- Records with blank name and address fields were excluded.

There were several steps required in preparing the master Pell-Campus-Based and GSL-only sampling frame:

- Restrict each universe file to the 48 contiguous states, i.e., exclude schools in Alaska, Hawaii, and the Trust Territories

- Delete all ineligible records, as defined below, on each of the three files (the definition of "ineligible" was provided by the Department of Education)

- Merge the 1985-86 Pell file with the 1984-85 file to gather any data on enrollment and count of recipients which were not available on the 1985-86 file

- Reduce the Pell file to central offices and single-campus institutions since only these records have information on number of Pell recipients. In the case of multi-campus institutions, the central-office count of recipients represents the recipients at all the campuses

- Create a master Pell-Campus-Based file, merging by entity identification numbers (EIN)

- Delete ineligible records from the GSL file

- Merge the master Pell-Campus-Based file with the GSL file, using the FICE which was present on the GSL file and on the master file records coming from Pell

- Delete cases on the master file that matched institutions participating in the Department of Education QC pilot study

- Check for outlier cases in Pell and Campus-Based recipients, i.e., cases where the number of recipients was unreasonably large when compared to the enrollment.

After deleting ineligible records, the Pell file consisted of 5,337 institutions. The corresponding Campus-Based file consisted of 4,430 institutions. The GSL file consisted of 8,904 institutions.

We encountered a number of problems in constructing the sampling frame for Stage Two. The necessary basis for merging the three universe files was a common identifier for each participating institution, which did not exist across all three files. For example, in merging the GSL universe file with the Pell-Campus-Based file we found that there was no common identifier across the Campus-Based and GSL files. Thus, Campus-Based-only (not offering Pell) institutions on the master file could not be merged with the GSL file. Thus, the institution sample had to be constructed in two stages, a merging of the Pell and Campus-Based files and then a merging of this new file with the GSL file.

The institutional identifiers - Entity Identification Numbers (EIN) for Pell and Campus-Based and FICE Codes for Pell and GSL - turned out not to be truly unique for each institution. For example, within the Pell and Campus-Based files, we found many cases where two different institutions had the same EIN. In cases where the institutions were branch campuses of the same institution, these could be resolved by cross-checking by zip code. In some cases there were two or more records with the same institution name and different EIN's; these were resolved by hand-checking. Across the Pell and Campus-Based files, we found that a number of institutions were listed with the same name but different EIN's. Sometimes this was due to the fact that an institution may report at the branch level for one program and at the central office level for the other program. Again, these cases were hand-checked to resolve as many of these problems as possible.

The common identifier between the Pell and GSL file is the FICE code (identification code of the central administrative office). Among the problems encountered with the FICE code were:

- Blank FICE codes
- FICE code was present but no institution name appeared on the GSL file
- Duplicate FICE codes on the GSL file, but with different institution names
- Different FICE codes for two records with the same Pell and GSL institution names.

Any GSL record that did not merge by FICE code with the Pell-Campus-Based file was assigned to the GSL-only frame. However, many of these records were, in fact, branches of Pell institutions that did not match by FICE with a record on the main Pell file or the file of Pell branches. In addition, the GSL universe file was not current. It included any institution that had ever certified a student for GSL. Once again, many of these cases were resolved through hand checking.

The master file resulting from merging the Pell and Campus-Based files by EIN and deleting the Institutional Quality Control Pilot Study schools (41) consisted of 5,655 institutions. Out of a GSL file of 8,904 institutions, 3,812 merged with the Pell-Campus-Based master file, resulting in an initial GSL-only frame of 5,092 institutions.

3.2.2 Student Sampling Frames

The student sampling frame consisted of lists of Pell and Campus-Based recipients and of GSL certifications for the 1985-86 academic year. The most accurate and current lists existed only at the sampled institutions, and we took several steps to ensure both the availability and usefulness of the lists we needed.

When the Department of Education first notified the institutions that they had been selected for the study, the letter specified the information that would be requested during the scheduling call and at the time of the visit, including the sampling lists. When our telephone staff called the institutions to schedule the data collectors' visits, we asked them again to prepare the three lists: an up-to-date list of Pell

Grant recipients in the 1985-86 academic year, an unduplicated list of actual recipients of Campus-Based aid in the 1985-86 academic year, and a list of GSL certifications made in 1985-86. The data collectors repeated this request when they confirmed their schedule a few days before the visit.

Although most institutions did provide exactly the lists we asked for, some would not or could not (due to the lack of staff time or computer software). Therefore, data collectors in the field encountered a wide variety of "lists" which had to serve as sampling frames, including:

- **Separate lists for each program** -- Some schools provided separate lists of recipients in the Pell Grant program and in each of the Campus-Based programs. Students who received aid from more than one program would be on more than one list.
- **Lists of all aid recipients** -- Some institutions were able to provide only an unduplicated list of all aid recipients, with codes indicating what kinds of aid each student received.
- **Files of cards or folders** -- Some institutions had no list of Pell or Campus-Based or any other aid recipients. They had either a card-file index of all recipients or individual student file folders constituted their "list."

Similar variety was encountered in "lists" of GSL certifications, which ranged from a sample list of all students certified to stacks of folders containing all the institution's copies of the current year's certification forms.

We had encountered similar variety in lists of recipients in Stage One of the Title IV Quality Control Study. Therefore, we were able to train the data collectors in statistically valid ways of dealing with lists that differed from our ideal. Our field supervisor also provided technical advice on sampling problems to many collectors by telephone. The student sample selection procedures implemented during the institutional visits is described below in Section 3.4.

3.3 SELECTION OF THE INSTITUTION SAMPLE

For reasons of sampling efficiency, it was desirable to select the main institution sample, i.e., the Pell-Campus-Based sampling frames, with probability proportional to a measure of size (MOS). The measure of size used in the institution sample selection was the number of Pell and/or Campus-Based aid recipients. We encountered several problems with measures of size. Information for some institutions on the Pell-Campus-Based file did not include the number of recipients and/or enrollment, or had inaccurate recipient and/or enrollment information. In some cases, the count of Campus-Based recipients referred to the main campus while the count of Pell recipients referred to all campuses. The GSL-only file did not contain any measures of size, either certifications or enrollment.

If an institution's record did not have a value for count of recipients for either Pell or Campus-Based, it was necessary to impute a value. The distribution of the 5,655 institutions on the master file by whether or not they had a value for count of recipients is shown in Exhibit 3-2:

	ON CB FILE ONLY	ON PELL FILE ONLY	ON PELL AND CB FILES	TOTAL
MOS AVAILABLE	344	1,149	3,928	5,421
MOS NOT AVAILABLE	48	161	25	234
TOTAL	392	1,310	3,953	5,655

EXHIBIT 3-2
INSTITUTIONAL MEASURE OF SIZE DATA
BY PROGRAM ON THE MASTER FILE

A regression model was used to impute the missing measure of size. In addition to the institution's control (private, public, or proprietary) and the type of program offered (2-year, B.A./B.S., graduate), enrollment was the only other appropriate independent variable available for most cases with missing count of recipients for both programs. The R^2 value, which is a measure of the proportion of variation explained by the independent variables (enrollment and type and control), obtained from the Pell regression was .58 and for the CB regression it was .57. These R^2 values indicate a reasonably good fit.

Where the information necessary to impute a MOS was missing or for institutions for which the predicted number of recipients was less than six recipients, a minimum of six recipients was assigned. This ensured that students within that school would be selected at a rate that would preserve the self-weighting characteristic of the student sample.

3.3.1 Computation of the Measure of Size

The sample design for the institution sample had to take into account the fact that separate student samples, with specific sample sizes for each program, would be drawn at the institutions. Thus, an important design issue was how to assign a measure of size to an institution so as obtain a reasonably efficient institution sample for selecting separate student samples for the three programs. The approach we followed was to assign to an institution a measure of size equal to the maximum of the proportion that the Pell and Campus-Based recipients at the institution represented of the total Pell and Campus-Based recipients, respectively.

That is:

$$M_i \quad = \quad \underset{(\text{over } j)}{\text{max of}} \quad \frac{N_{ij}}{N_{.j}}$$

where

i = identifies the institution

j identifies the program (Pell or CB)

M_i = the institution measure of size used in the sample selection for the i-th institution

N_{ij} = the number of recipients at the i-th institution in the j-th program

$N_{.j}$ = the number of recipients in the j-th program over all institutions.

As indicated earlier, the GSL file had no information on the number of GSL certifications at an institution. Thus, an institution's measure of size was based on information on recipients for Pell and Campus-Based only, even if it had been identified as also having GSL certifications. However, we guarded against the impact on the weighting of a situation where an institution with just a few Campus-Based and Pell recipients (and thus a large weight) turned out to have a large number of GSL certifications. We doubled the measure of size whenever the proportion that an institution's enrollment represented of the total enrollment of GSL institutions was greater than two times the measure of size of that institution.

3.3.2 Determination of Certainty Institutions

A sample of 290 institutions was to be selected from the Pell-Campus-Based master file. Institutions with a measure of size greater than the overall selection interval (total measure of size/290) were drawn into the sample with certainty. The certainty cutoff was set at:

$$\frac{\text{Total measure of size}}{\text{Institution sample size}} = \frac{1.43166}{290} = .07.$$

Eight institutions were drawn into the sample through this process.

3.3.3 Selection of Noncertainty Institutions

The remaining 282 sample institutions were selected from those remaining in the frame after the certainties were removed. The sample design for this noncertainty portion of the sample was basically a double sampling with probability proportional to size (PPS) selection of clusters and PPS selection of individual institutions from those in the sample clusters. The sample design called for:

- Ordering the file by geographic code and forming clusters of consecutive schools of a minimum of eight schools each
- Sampling clusters with probability proportional to the measure of size of the cluster
- Assigning a weighted measure of size, WM_{ij}, to schools within sampled clusters where

  $$WM_{ij} = M_{ij}/P_j$$

  i identifies the institutions

  j identifies the cluster

  M_{ij} = measure of size of the i-th institution in the j-th cluster

  P_j = probability of selection of the j-th cluster
- Sampling institutions systematically from the file in cluster order, with probability proportional to the weighted measure of size (WM_{ij}).

ZIP Recode. The frame of institutions for the selection of the noncertainty portion of the sample was first merged with a ZIP-code-recode file. The ZIP-code-recode step attached a serpentine geographic code to each institution and removed invalid three-digit ZIP's (those that did not match the master list) for verification and correction.

Formation of Clusters. To form geographic clusters of institutions, we sorted the file first by the geographically contiguous sort variable (ZIP-recode) and within that by 5-digit ZIP code. The rule used in forming clusters was that:

- Each cluster must contain a minimum of eight consecutive institutions
- All schools within the same 5-digit ZIP code must be in the same cluster.

The clustering procedure resulted in 655 clusters with an average of 8.7 schools per cluster.

Sample of Clusters. Out of the 655 clusters in the frame, we sampled 100 clusters, with probability proportional to size (PPS). The measure of size of a cluster was the sum of the measure of size of the institutions in the cluster. The 100 sampled clusters contained 878 schools, and none of the cluster sizes exceeded the sampling interval, which would have required their selection with certainty at this stage.

Before drawing the institution sample an effort was made to eliminate from the sample clusters any duplicate institutions; that is, institutions that were on the Pell and on the Campus-Based universe files but because they had a different EIN number on each file they did not merge in the computer operation.

Sampling Institutions. In the second stage of sampling the measure of size for the PPS selection was the institution's MOS weighted by the cluster weight (the reciprocal of the cluster's probability of selection); that is,

$$WM_{ij} = M_{ij}/P_j$$

The institutions in the 100 sample clusters were retained in cluster order and a systematic sample of 282 institutions was selected with probability proportional to the weighted measure of size (WM_{ij}). A considerable number of institutions (108) had a measure of size larger than the sampling interval and were conditional certainties at this stage; these were removed from the frame before the remaining 174 noncertainty institutions were drawn. After looking closely at the institution sample it was determined that two of the sample institutions were in fact the same. This reduced the actual sample from the Pell-Campus-Based master file to 289 institutions.

3.3.4 Distribution of the Sample Among Type-Control Strata

In Stage One, at the second stage of sampling, institutions were stratified by institution control and type (length) of program. Thus, it was reasonable to expect that the sample estimate of recipients, by control/length stratum, should be close to proportional to the distribution of the measure of size by stratum. In Stage Two, however, because the frame was a combined frame of Pell, Campus-Based, and GSL institutions, the institution sampling frame was not stratified by institution control and type of program. Thus, when comparing the distribution of the Pell or Campus-Based sample to the corresponding universe, the distributions are not expected to be proportional. Exhibit 3-3 shows the distribution of universe and sample institutions by control/length stratum for the Pell and Campus-Based programs. Exhibit 3-4 shows the distribution of the universe counts and sample estimates of recipients for Pell and Campus-Based, by institution control/length stratum. There is no comparable distributional data for GSL, since the GSL universe file did not contain MOS information.

3.3.5 Subsampling Branches

For some institutions, the count of recipients on the Pell and Campus-Based universe files included recipients at the main campus and all the branches; however, the student aid records were kept at the individual campuses. The universe file indicated this situation and a list of branches was included on the file, but without a count of recipients at the individual campuses. For these institutions, we obtained enrollment figures for the branches from the "Education Directory of Colleges and Universities 1983-84," NCES, and subsampled one branch from each institution with probability proportional to enrollment.

During scheduling calls to sample institutions, we uncovered additional institutions where the student aid records were at the branch campuses. We obtained enrollment figures for the branches and followed the subsampling procedure described above. A total of 48 institutions were subsampled.

1985 - 86
INSTITUTIONS

	< 2 YEARS		2 - < 4 YEARS		4 + YEARS		TOTAL	
	NUMBER	%	NUMBER	%	NUMBER	%	NUMBER	%
PELL								
UNIVERSE								
Public	114	2.2	941	17.9	460	8.7	1,515	28.8
Private	48	0.9	368	8.0	1,140	21.7	1,556	29.6
Proprietary[1]	1,818	34.5	349	6.6	25	0.5	2,192	41.6
TOTAL	1,980	37.6	1,658	31.5	1,625	30.9	5,263	100.0
SAMPLE								
Public	2	0.7	73	26.4	73	26.4	148	53.4
Private	0	0.0	7	2.5	84	30.3	91	32.9
Proprietary[1]	25	9.0	10	3.6	3	1.1	38	13.7
TOTAL	27	9.7	90	32.5	160	57.8	277	100.0
CAMPUS-BASED								
UNIVERSE								
Public	32	0.7	801	18.4	488	11.2	1,321	30.4
Private	33	0.8	246	5.7	1,194	27.5	1,473	33.9
Proprietary[1]	1,245	28.7	280	6.4	26	0.6	1,551	35.7
TOTAL	1,310	30.1	1,327	30.5	1,708	39.3	4,345	100.0
SAMPLE								
Public	0	0.0	67	24.9	75	27.9	142	52.8
Private	0	0.0	7	2.6	87	32.3	94	34.9
Proprietary[1]	23	8.6	7	2.6	3	1.1	33	12.3
TOTAL	23	8.6	81	30.1	165	61.3	269	100.0

[1] FOR CAMPUS-BASED THIS CATEGORY INCLUDED POSTSECONDARY/VOCATIONAL

EXHIBIT 3-3
DISTRIBUTION OF TITLE IV INSTITUTIONAL UNIVERSE AND SAMPLE FOR THE PELL AND CAMPUS-BASED PROGRAMS BY INSTITUTION TYPE AND CONTROL

1985 - 86
AID RECIPIENTS

	< 2 YEARS		2 - < 4 YEARS		4 + YEARS		TOTAL	
	NUMBER	%	NUMBER	%	NUMBER	%	NUMBER	%
PELL								
UNIVERSE								
Public	19,134	2.2	633,586	26.0	892,408	36.6	1,545,128	63.5
Private	5,126	0.9	45,249	1.9	382,628	15.7	433,003	17.8
Proprietary[1]	305,193	34.5	136,250	5.6	15,485	0.6	456,928	17.8
TOTAL	329,453	37.6	815,085	33.5	1,290,521	53.0	2,435,059	100.0
SAMPLE								
Public	13,739	0.6	629,688	27.1	880,371	38.1	1,520,798	65.8
Private	0	0.0	54,898	2.4	380,618	16.5	435,516	18.9
Proprietary[1]	205,281	8.9	113,501	4.9	35,135	1.5	353,917	15.3
TOTAL	219,020	9.5	795,087	34.4	1,296,124	56.1	2,310,231	100.0
CAMPUS-BASED								
UNIVERSE								
Public	2,550	0.2	179,351	13.2	571,520	42.1	753,421	55.5
Private	1,335	0.1	23,887	1.8	460,149	33.9	485,371	35.7
Proprietary[1]	78,142	5.8	32,732	2.4	8,348	0.6	119,222	15.3
TOTAL	82,027	9.5	235,970	17.4	1,040,017	76.6	1,358,014	100.0
SAMPLE								
Public	0	0.0	202,827	14.9	559,547	41.0	762,374	55.9
Private	0	0.0	26,252	1.9	503,414	36.9	529,666	35.7
Proprietary[1]	43,354	3.2	15,389	1.1	12,549	0.9	71,292	8.8
TOTAL	43,354	3.2	244,468	17.9	1,075,510	78.9	1,363,332	100.0

[1] FOR CAMPUS-BASED THIS CATEGORY INCLUDED POSTSECONDARY/VOCATIONAL

EXHIBIT 3-4
DISTRIBUTION OF TITLE IV UNIVERSE RECIPIENTS AND SAMPLE ESTIMATE OF RECIPIENTS, FOR THE PELL AND CAMPUS-BASED PROGRAMS BY INSTITUTION TYPE AND CONTROL

3.3.6 The GSL-Only Institution Sample

Travel considerations made it desirable to restrict the GSL-only sample to the same 100 geographic clusters that comprised the Pell-Campus-Based sampling frame. An algorithm was developed to extract from the GSL file all schools which fell in any of the 100 selected clusters on the basis of the geocode of the cluster and the five-digit ZIP Code. This reduced the effective frame of GSL schools to 743 institutions.

Out of the 878 institutions appearing on the Pell-Campus-Based 100-cluster frame, 603 had been matched to the GSL frame through the FICE code. A listing of the 878 institutions was produced, sorted by cluster, and alphabetically within cluster. A list of the 743 GSL-only schools, sorted in the same way, was also produced. Clerks compared the 100-cluster Pell-Campus-Based list to the 100-cluster GSL-only list. Any institution appearing on both lists was removed from the GSL-only frame. A strict rule was used in deciding what was to be considered a match between the two lists: since the Pell file defined an institution as an independent campus or a central office on the basis of the institution's reporting procedure rather than whether it was in fact a branch campus, a central office, or an independent institution, we did not delete from the GSL-only file any institutions that in fact had no other chance of coming into the sample. This procedure yielded a final GSL-only frame of 489 institutions.

Because of the poor quality of the frame, we sampled 50 GSL-only records in order to guarantee an actual yield of 25. First, the list of

489 GSL-only schools was sorted by cluster number. A PPS sample of 50 schools was selected using the cluster selection weight as the measure of size. This resulted in a clustered, equal probability sample of GSL-only schools.

After the sample of GSL-only institutions was drawn, a very thorough check was made to determine if these institutions had another chance of coming into the sample through the Pell-Campus-Based file. This check relied on the Pell-Campus-Based master file, lists of branch campuses, and telephone calls to the sample schools when necessary. It reduced the actual GSL-only sample to 36 institutions.

Because of limitations on the budget and on the time required to visit sample institutions, a random subsample of 25 GSL-only institutions was selected from the 36 identified as eligible through the process described above.

3.3.7 Institution Weights

In general, the overall weight associated with an institution in the Stage Two sample was the product of the cluster weights and the within-cluster institution weight. However, as described earlier, when student aid records were at the branch campuses, but the sample unit was the institution as a whole, we subsampled a branch for the field visit. As a result of the subsampling, the overall weight for these institutions includes a subsampling component in addition to the cluster sampling component and the institution-within-cluster component. Thus, the overall institution weight, W_i, may be expressed as

$$W_i = WC_i \; WI_i \; WB_i$$

where

WC_i = the reciprocal of the cluster selection probability

WI_i = the reciprocal of the institution selection probability conditional on the cluster

WB_i = the reciprocal of the branch subsampling probability.

3.4 SELECTION OF THE STUDENT SAMPLE

The Stage Two student sample was designed to result in a fixed overall sampling rate for students in each of the three programs. Thus, the within-school student sampling rate for a particular program was a function of the overall sampling rate desired for that program and the institution base weight (the reciprocal of the institution's overall selection probability). That is,

$$f_{si} = f* W_i$$

where

f_{si} = student sampling rate within institution i

f = overall desired sampling rate for the specified program

W_i = overall institution weight (as defined in 3.3.7 above).

The desired overall sampling rates, f, for the three programs are given below:

Pell: f_1 = 1,300/2,436,480

CB: f_2 = 1,511/1,358,014

GSL: f_3 = 400/324,700

where the numerator is the target student sample size specified for the program, and the denominator is the best estimate available of the total number of students in the program.

Thus, the within-school sampling rates are given by:

Pell: $f_{si1} = f_1 W_i$

CB: $f_{si2} = f_2 W_i$

GSL: $f_{si3} = f_3 W_i$.

Then, the expected student sample size for Pell and Campus-Based in institution i is given by:

Pell: $n_{i1} = f_{si1} N_{i1}$

CB: $n_{i2} = f_{si2} N_{i2}$

where

n_{ij} = the expected sample size in institution i, program j

N_{ij} = the expected number of program recipients at the instituition i, program j.

Thus the initial caseload, and hence the amount of time scheduled for the data collector's visit to each institution, was based on two assumptions:

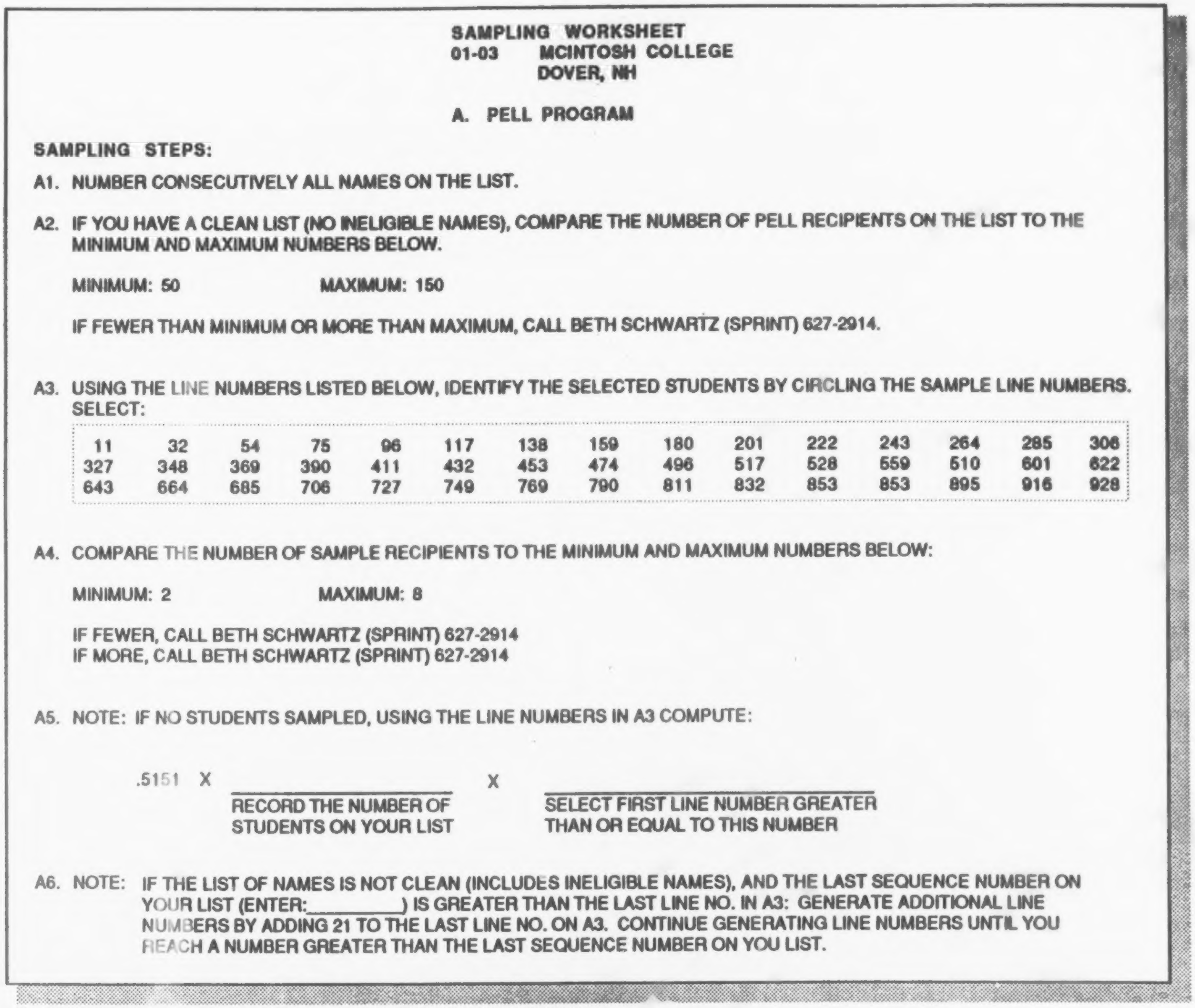
- That the number of Pell and Campus-Based recipients in 1985-86 would be proportional to the 1984-85 figures
- That the relatively low sampling fraction established for GSL would result in a small number, generally less than four, of GSL students sampled.

3.4.1 Drawing the Student Sample

As part of the telephone calls to schedule the data collector's visit, the financial aid offices were asked for current estimates of Pell and Campus-Based recipients and GSL certifications. Based on these revised measures of size, we recomputed the within-institution sampling rates and estimated caseload. In some cases the resulting caseload for an institution was larger than could be accommodated in the scheduled time for the visit. For these institutions the sampling rate was cut in half.

After the revisions described above, sampling worksheets for each institution and program were produced. As shown in Exhibit 3-5, the worksheet provided a check on whether the number of recipients on the sampling list was within the range we expected based on prior information. It also summarized the steps to be followed for sampling, identified the sample line numbers for each program, and provided a range check for the resulting sample.

At the institutions, data collectors selected sample students from the sampling lists (see Section 3.2.2) following the procedure specified on the sampling worksheet. The sampling worksheet allowed for the actual number of recipients (thus the sample size or "take") for each program to vary as much as 50 percent from the expected number of recipients. Within that range, the data collector drew the sample as dictated by the sample line numbers on the worksheet. However, if the actual number of recipients fell outside of the range, the data collector called the field supervisor. We had developed procedures for adjusting the sampling rate according to the actual number of recipients in the program. The sampling rates were modified to produce caseloads consistent with the amount of time scheduled for the visits and new line numbers were generated for sample selection. The correct number of recipients and the



SAMPLING WORKSHEET
01-03 MCINTOSH COLLEGE
DOVER, NH

A. PELL PROGRAM

SAMPLING STEPS:

A1. NUMBER CONSECUTIVELY ALL NAMES ON THE LIST.

A2. IF YOU HAVE A CLEAN LIST (NO INELIGIBLE NAMES), COMPARE THE NUMBER OF PELL RECIPIENTS ON THE LIST TO THE MINIMUM AND MAXIMUM NUMBERS BELOW.

MINIMUM: 50 MAXIMUM: 150

IF FEWER THAN MINIMUM OR MORE THAN MAXIMUM, CALL BETH SCHWARTZ (SPRINT) 627-2914.

A3. USING THE LINE NUMBERS LISTED BELOW, IDENTIFY THE SELECTED STUDENTS BY CIRCLING THE SAMPLE LINE NUMBERS. SELECT:

11	32	54	75	96	117	138	159	180	201	222	243	264	285	306
327	348	369	390	411	432	453	474	496	517	528	559	510	601	622
643	664	685	706	727	749	769	790	811	832	853	853	895	916	928

A4. COMPARE THE NUMBER OF SAMPLE RECIPIENTS TO THE MINIMUM AND MAXIMUM NUMBERS BELOW:

MINIMUM: 2 MAXIMUM: 8

IF FEWER, CALL BETH SCHWARTZ (SPRINT) 627-2914
IF MORE, CALL BETH SCHWARTZ (SPRINT) 627-2914

A5. NOTE: IF NO STUDENTS SAMPLED, USING THE LINE NUMBERS IN A3 COMPUTE:

.5151 X ____________ X ____________

RECORD THE NUMBER OF STUDENTS ON YOUR LIST

SELECT FIRST LINE NUMBER GREATER THAN OR EQUAL TO THIS NUMBER

A6. NOTE: IF THE LIST OF NAMES IS NOT CLEAN (INCLUDES INELIGIBLE NAMES), AND THE LAST SEQUENCE NUMBER ON YOUR LIST (ENTER:__________) IS GREATER THAN THE LAST LINE NO. IN A3: GENERATE ADDITIONAL LINE NUMBERS BY ADDING 21 TO THE LAST LINE NO. ON A3. CONTINUE GENERATING LINE NUMBERS UNTIL YOU REACH A NUMBER GREATER THAN THE LAST SEQUENCE NUMBER ON YOU LIST.

EXHIBIT 3-5
EXAMPLE OF SAMPLING WORKSHEET

revised within-institution sampling rates were recorded by the Advanced Technology field supervisor to allow adjusting the sampling weight as required.

In some instances, even if the number of recipients was within the acceptable range, the actual take exceeded the time allowed for the visit. If the data collector could adjust his/her travel schedule to extend the visit, adjusting the take was not necessary. If not, the sampling rate was cut in half by selecting every other recipient to yield an acceptable sample size.

Midway through the field period, our field receipt control system revealed that for a number of institutions the actual takes were within the allowable range, but below the expected figures. This meant the sample was falling behind the projected size. For the second half of the field period, we adjusted the sampling rate to increase the take in those institutions where the schedule permitted it in order to maintain the required total student sample size. One effect of this procedure, however, was the introduction of more variability among the sampling weights with a resulting loss of efficiency in the sample estimates. This is described in more detail in Appendix A.

3.5 RESPONSE RATES

Response rates for Stage Two were satisfactory. As will be discussed in detail below, we visited 297 institutions out of a sample of 314. All eligible institutions were visited (functioning, locatable institutions participating in one or more of the Title IV programs). The total number of students actually sampled was 2,996 or 93 percent of the projected number. We experienced a sample loss of 14 cases, which yielded a student sample of 2,982 cases, or 92.3 percent of the projected figure. These cases were sampled in error since all had received only a PLUS Loan and were therefore not in the sampling frame. The distribution of sampled cases by type of program is shown in Exhibit 3-6. The interview response rate for all sampled students and parents was 87.3 percent, which was an increase over Stage One response rates of slightly less than 80 percent. This rate was achieved in spite of the fact that participation in the interviews was voluntary for recipients of Campus-Based aid and GSL's, as was also the case in Stage One for all sampled students.

3.5.1 Institutional Data

The target size of the sample was 300 institutions, including 25 GSL-only schools. The original institutional sample consisted of 339 institutions: 289 institutions drawn from the Pell and Campus-Based universe files and 50 institutions drawn from the GSL file. (The initial GSL sample was 60 percent larger than the corresponding Stage One sample because of a sample loss of over 50 percent in Stage One GSL-only institutions.)

In a preliminary attempt to "clean" the GSL-only sample, we eliminated 14 institutions as being ineligible for the sampling frame, i.e., these institutions were discovered not to be GSL-only participants. A second round of deselection, based on equal probability, eliminated another 11 institutions, resulting in the target GSL sample size of 25, and a total sample of 314 institutions.

PROGRAM	PROJECTED DIRECT SAMPLE SIZE	PROJECTED SAMPLE COUNTING OVERLAP	ACTUAL DIRECT SAMPLE SIZE[1]	ACTUAL SAMPLE COUNTING OVERLAP[2]	PERCENT OF PROJECTED SAMPLE SIZE	PERCENT COUNTING OVERLAP
Pell Grant	1,300	2,452	1,243	2,270	94.6	91.4
Campus-Based	1,511	1,987	1,323	1,902	86.9	95.7
GSL	400	1,533	429	1,701	106.5	110.9

[1] Includes 9 students sampled from both Pell and Campus-Based and 3 students sampled from both Pell and GSL.

[2] Not adjusted for non-response

EXHIBIT 3-6 DISTRIBUTION OF SAMPLED CASES BY PROGRAM

Three institutions were deselected from the Pell-Campus-Based list. These institutions all use the services of a particular consultant to manage their financial aid programs. This consultant manages a large number of proprietary schools, such that two or three of them have been drawn in each of our QC study samples. These institutions were deselected from Stage Two on the basis of a history of nonparticipation in previous QC studies.

We therefore began scheduling calls with a sample of 311 institutions. In spite of attempts by both Westat and ED staff to locate all institutions, five institutions were discovered to be out of business and four more were non-locatable (these were all from the GSL-only sample). In addition, one institution proved to be very difficult to locate. Once located, repeated attempts to contact the director to schedule a visit were unsuccessful. One other sample institution was discovered to be a branch of another sample institution. It was therefore dropped from the sample and the branch campus subsampling procedure was used to determine the appropriate campus to visit.

One institution, part of a chain of proprietary schools, was discovered to have branch campuses and was subsampled. Since the records for all the schools in the chain were located in one place, with one financial aid director, the site visits were combined to yield separate student samples, but one interview.

All 10 institutions which initially refused to participate in the study eventually agreed to be visited, although this did not happen for all of these cases before the start of the field period. One institution did not agree to participate until the fourth week of data collection. Since this study was an official inquiry of the U.S. Department of Education, for which Advanced Technology was acting as agent, schools participating in Federal aid programs did not have a legal right to refuse. At two institutions, however, the FAA did not grant an interview to our data collector (the interview segment of the visit was voluntary). In both cases the data collectors were able to obtain the information they needed to complete the Student Record Abstracts from other sources in the financial aid office, and to provide us with enough information on institutional policies to enable us to analyze the sample cases.

The final institutional sample consisted of 297 institutions. This represented 283 institutions drawn from the Pell-Campus-Based sample, or 98 percent, and 14 institutions from the GSL sample of 25, or 56 percent, for a total participation rate of 94.6 percent (297 of 314 institutions in the sample).

3.5.2 Student and Parent Data

Response rates for student and parent interviews were continuously monitored during the field period through the Automated Survey Control System (ASCS). At the conclusion of the field period, the response statistics generated by ASCS were reconciled with those keyed into the receipt control file as each of the questionnaires was logged into the receipt control system at Westat. Response rates were tracked using a set of status codes, which indicated the final disposition of each of the sampled cases. The disposition codes are shown in Exhibit 3-7; final disposition of all sampled student and parent cases is shown in Exhibit 3-8. Response rate statistics were monitored for each student and parent group (e.g., all students, independent students, dependent students, all

CODE	DEFINITION
11	Completed interview with usable data
12	Respondent not at home after a minimum of five in-person calls by the interviewer
13	Respondent cannot be located
14	Respondent has an extended illness and is unavailable during the field period
15	Refusal or break-off
16	Avoid Interview
17	Language problem, no interpreter available
18	Other
20	Respondent was sampled in error
21	Respondent is out of the country during field period
22	Respondent is deceased

EXHIBIT 3-7 FINAL DISPOSITION CODES FOR SAMPLED CASES

FINAL DISPOSITIONS, ELIGIBLE STUDENTS

DISPOSITION	NUMBER	PERCENT
Complete (11)	2,629	88.13
Not Home, Maximum Calls (12)	29	0.97
Can't Locate (13)	85	2.85
Extended Illness (14)	6	0.20
Refusal/Breakoff (15)	155	5.20
Avoider (16)	38	1.28
Language Barrier (17)	1	0.03
Other (18)	24	0.80
Out of Country (21)	16	0.54
	2,983*	100.0

FINAL DISPOSITIONS, ELIGIBLE PARENTS

DISPOSITION	NUMBER	PERCENT
Complete (11)	2,391	85.55
Not Home, Maximum Calls (12)	25	0.89
Can't Locate (13)	80	2.86
Extended Illness (14)	17	0.61
Refusal/Breakoff (15)	217	7.76
Avoider (16)	22	0.79
Language Barrier (17)	11	0.39
Other (18)	32	1.15
	2,795	100.0

* *13 Cases were Out-of-Scope (sampling error, deceased), bringing the total to 2,996 (2,983 + 13). These cases are excluded from the calculation of response rates and thus omitted from the table.*

EXHIBIT 3-8 FINAL DISPOSITION OF CASES

parents, independent parents, dependent parents, independent students and parents, dependent students and parents, and student/parent pairs). Response rates by student dependency status are shown in Exhibit 3-9.

RESPONDENT GROUP	COMPLETED INTERVIEWS	RESPONSE RATE (%)
Dependent		
Student	1,588	89.8
Parent	1,531	87.0
Independent		
Student	1,041	87.8
Parent	860	83.1

EXHIBIT 3-9 RESPONSE RATES BY DEPENDENCY STATUS

Response rates were calculated as the percent of questionnaires that were completed of the total number of sampled students and/or parents for whom an interview was possible. If a sampled student or parent, for example, was out of the country during the field period, or was deceased, they were not counted in the calculation of the response rate because an interview with them was not possible. However, sampled students or parents who could not be found, or who refused to be interviewed were included in the calculation of response rates as nonrespondents.

The total number of students and parents for whom an interview was possible was 5,778. Completed interviews were obtained for 5,020, for a response rate of 86.9 percent. For students, only 2,629 interviews were completed out of 2,983 possible interviews, for a student response rate of 88.8 percent. For parents only, there were 2,795 parents for whom an interview was possible. There were 2,391 completed parent interviews, for a response rate of 85.5 percent.

In addition, there were 2,262 "pairs" of interviews completed, where both student and parent questionnaires were obtained. Of these pairs, 1,464 were dependent student/parent pairs, and 798 were independent student/parent pairs.

4

INSTITUTIONAL DATA COLLECTION

The institutional data collection constituted the first, critical phase of the study. The lack of comprehensive Federal recipient data bases mandated that the institutions be the resource for identifying complete lists of current recipients from which a sample could be drawn. In addition, the institutions are a legitimate focus of the study in their own right, in that institutional error is a component of program-wide error. Finally, information found in a student's institutional file provided us with an additional source of student data.

In this chapter we describe the institutional data collection conducted by Advanced Technology in February and March 1986. Information on 2,996 sampled students was obtained during visits to 297 institutions. We will describe how our field staff was recruited and trained, how the institutional visits were scheduled, supervision of the visits, and our procedures for handling the data collection materials as they were received from the field.

4.1 PROJECT STAFF

The tasks involved in the institutional data collection required a variety of skills and experience in student financial aid, quality control, program evaluation, and survey research. Advanced

Technology's project staff are experienced in these areas, and have a clear understanding of the process and requirements not only of gathering the data, but also of preparing, processing, and interpreting that data. Our project manager and task managers brought to Stage Two specific experience from both Stage One and the Pell QC studies.

4.2 FIELD STAFF

Given the complexity of the Title IV programs and the variety of documents and institutional recordkeeping systems we were likely to encounter, strong, current financial aid experience was the most important qualification for the data collectors. Since the data collectors were working alone all over the country, constant supervision of each one was impossible; therefore, they had to be reliable and experienced enough to be able to make their own decisions in many situations.

4.2.1 Trainer/Monitors

Three data collectors who had demonstrated exceptional capability during Stage One were recruited to assist our project staff during data collector training, and to monitor the data collectors during the first 2 weeks of the field period. Their first-hand experience in QC data collection as well as their expertise in financial aid made them a most valuable and efficient resource for us. Two of them continued as data collectors once their monitoring responsibilities were completed. Their professional qualifications are included with those of the rest of the field staff below.

4.2.2 Data Collectors

We began our recruitment of data collectors from the individuals who had performed successfully on the data collection for Stage One of the Title IV QC project, which occurred in the spring of 1984. Nine of these experienced data collectors were available and were rehired.

We advertised our field staff needs in the Newsletter of the National Association of Student Financial Aid Administrators (NASFAA) and the Chronicle of Higher Education. The NASFAA Newsletter provided the greatest number of new applicants with the type of experience we were seeking; most of the new data collectors we hired had applied in response to this advertisement. While we received several applicants in response to our advertisement in the Chronicle of Higher Education, the majority of these were well-qualified in higher education and student services in general, but were lacking the kind of experience in financial aid which we required. Our other major source of appropriate candidates was the network of professional relationships and contacts within the financial aid community which we have developed through previous data collections, and which we were able to draw upon successfully once again.

These sources produced a group of candidates from across the United States. This was desirable because it permitted us to hire many people to work in or near their home areas. They were familiar with regional or local peculiarities, such as procedures or records required by state agencies or policy recommendations of the state or regional association of financial administrators. They would also have to travel shorter distances and could often return home on weekends. This both reduced our travel expenses and maintained the morale of the data collectors. While we were not able to assign everyone to a region close to home, we were able to make these kinds of assignments for the majority of field staff.

The geographic dispersal of the applicants prevented face-to-face interviews but, after initial screening of resumes, the most promising candidates were interviewed by telephone. We then made telephone checks of three references for each candidate before making an offer. The final field staff of 29 people consisted of 3 trainer/monitors, 22 full-time data collectors, and 4 alternates.

The field staff had over 300 combined years of professional financial aid experience, averaging nearly 11 years each. Of the 29, 20 had 10 years of experience or more; 5 had at least 15 years. Eighteen held positions at the level of financial aid director, with responsibility for the full range of financial aid activities (including a few individuals who had been directors at more than one institution). Six more had experience at the associate or assistant director level. The institutions represented by the data collectors included all types and controls. The educational backgrounds of the data collectors included 3 with an earned doctorate, 14 with master's degrees, and 10 with bachelor's degrees. Several had more than one master's or additional course work beyond a master's degree. Virtually all the data collectors were affiliated with their state and regional professional associations, and with NASFAA. Many had participated in leadership roles at conferences and training programs sponsored by these associations, as well as those sponsored by the U.S. Department of Education. Several had also served as consultants to their state governments in matters relating to postsecondary education in general and financial aid in particular.

The field staff were well-equipped by training and experience to deal with the variety of documents and record systems they would encounter in the field, to explain interview questions to financial aid directors, and to understand answers couched in financial aid terminology. They could find relevant data in student files quickly and accurately. Our training program concentrated on ensuring consistent use of the data collection instruments, with no need for instruction on the basics of the Title IV programs.

4.3 SCHEDULING

The primary objective of the scheduling plan was to allow 25 data collectors to travel as inexpensively as possible while visiting all the sample institutions within the 6-week data collection period. We developed an ideal master schedule to achieve this goal and then adjusted it as necessary when we could not visit specific institutions on our preferred dates.

4.3.1 Master Schedule

Our first step in constructing the ideal schedule was to plot the institutions to be visited on a map. Our objective was to divide the institutional sample as a whole into 25 regions, and then to break each region into 1-week clusters.[1] By first looking at the sample geographically, we saw that a fairly even distribution was possible. This gave us an important measure of flexibility in choosing dates for visits, allowing us to plan according to the logistical implications of our choices.

Once we determined our data collectors' destinations, we then estimated how much time was needed for each institutional visit. Time was required for four things: traveling to the school; interviewing the financial aid administrator (FAA); selecting the sample; and abstracting data from the files. We estimated how much time would be required for each task, and then estimated how long each visit was likely to take. However, since our estimates were based on information gathered during the scheduling calls, we had to allow for circumstances where actual caseloads would turn out to be higher than our estimates. We also had to allow for the possibility of extra travel time, in case our estimates turned out not to reflect local road conditions, weather, etc. Finally, we tried to overestimate the expected workload to allow for maximum flexibility in schedule adjustments during the scheduling and/or field periods.

We were also able to use what we knew about previously visited institutions, in terms of the organization of the financial aid office and student files, to adapt the scheduled length of the visit to accommodate expected sampling problems. This knowledge was very helpful in the case of one particular institution, where we knew that the data collector would have to sample directly from filing cabinets, unsorted by enrollment and type of aid, and at another institution where the data collector would be sampling from file cards.

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[1] Although we had 25 regions, we used 29 individuals as data collectors because some were not available for the full field period, a few remote institutions did not fit conveniently into any region, and substitutes would be needed in cases where illness or bad weather interfered with travel.

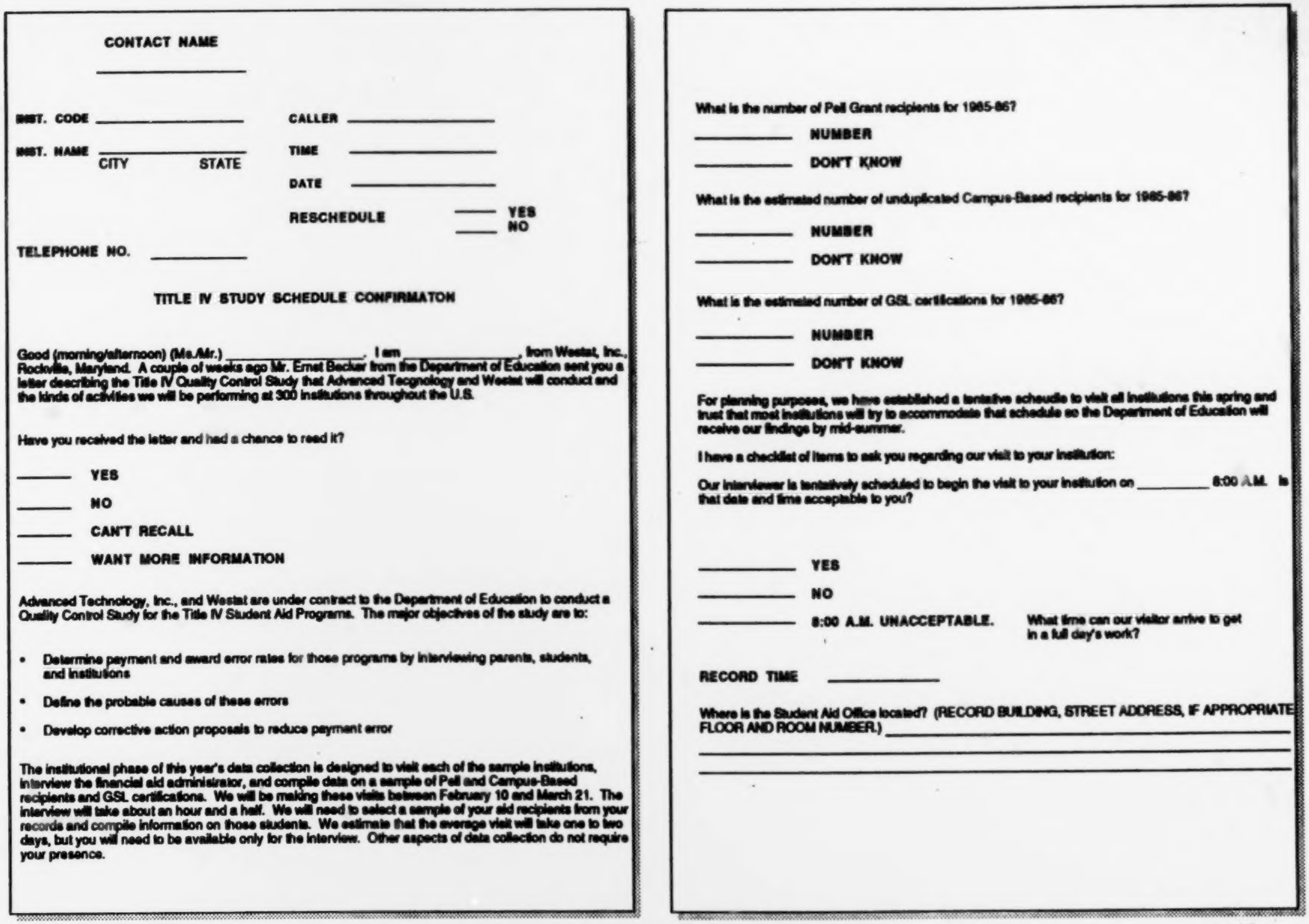
Once institutions had been grouped into regions, and the number of days needed for each visit had been estimated, we began assigning preferred dates to the institutions. We tried to designate at least one alternative date for each school, although this was not always practical. Where we had several schools to visit in a single city or within a few miles of each other, we could easily shift the preferred dates. In other areas, a region could be treated as a loop itself, with the preferred schedule specifying travel in one direction and an alternative schedule providing for travel in the reverse direction. The final master schedule consisted of a list of 311 participating institutions with preferred dates and alternative dates for each over a 6-week period.

4.3.2 Setting the Actual Schedule

As soon as the institution sample was drawn, the Office of Postsecondary Education (OPE) sent letters to the presidents and financial aid administrators of all sampled institutions, notifying them that their institutions had been selected and requesting their cooperation, and informing them that they would be called to arrange a date for the visit. The letters also told the financial aid administrators what information they would be asked to provide during the scheduling calls. In addition, a project summary was included with the letters to each institution (see Appendix B). OPE also informed ED regional administrators about the study, and provided a list of sampled institutions by regions.

The Westat Telephone Research Center had the facilities and staff to contact all the institutions and arrange the appointments. Their corps of interviewers has experience in telephone survey procedures and state-of-the-art long-distance telephone facilities. Westat trained the scheduling interviewers in a 3-hour session at which they were familiarized with the financial aid process and the study. All scheduling calls were monitored by Advanced Technology staff on a rotating basis to cover all the interviewers. The scheduling interviewers immediately brought any problems encountered to the attention of the monitors.

To schedule each visit and collect other information for our data collectors, we developed a script for the telephone interviewers, an excerpt of which is presented in Exhibit 4-1. If an institution did not accept a visit on the preferred date or our alternative date, the interviewer asked what dates would be acceptable. The script also gave us an opportunity to ask about the measures of size, that is, the number of student recipients in each of the Title IV programs the institutions participate in, and to give the financial aid director at each school advance notice of any questions for which we would ask for copies of documents.



CONTACT NAME

____

INST. CODE ______________

INST. NAME ______________
CITY STATE

CALLER ______________

TIME ______________

DATE ______________

RESCHEDULE ____ YES
____ NO

TELEPHONE NO. ______________

TITLE IV STUDY SCHEDULE CONFIRMATON

Good (morning/afternoon) (Ms./Mr.) ______________. I am ______________, from Westat, Inc., Rockville, Maryland. A couple of weeks ago Mr. Ernst Becker from the Department of Education sent you a letter describing the Title IV Quality Control Study that Advanced Tecgnology and Westat will conduct and the kinds of activities we will be performing at 300 institutions throughout the U.S.

Have you received the letter and had a chance to read it?

____ **YES**
____ **NO**
____ **CAN'T RECALL**
____ **WANT MORE INFORMATION**

Advanced Technology, Inc., and Westat are under contract to the Department of Education to conduct a Quality Control Study for the Title IV Student Aid Programs. The major objectives of the study are to:

- Determine payment and award error rates for those programs by interviewing parents, students, and institutions
- Define the probable causes of these errors
- Develop corrective action proposals to reduce payment error

The institutional phase of this year's data collection is designed to visit each of the sample institutions, interview the financial aid administrator, and compile data on a sample of Pell and Campus-Based recipients and GSL certifications. We will be making these visits between February 10 and March 21. The interview will take about an hour and a half. We will need to select a sample of your aid recipients from your records and compile information on those students. We estimate that the average visit will take one to two days, but you will need to be available only for the interview. Other aspects of data collection do not require your presence.

What is the number of Pell Grant recipients for 1985-86?

____ **NUMBER**
____ **DON'T KNOW**

What is the estimated number of unduplicated Campus-Based recipients for 1985-86?

____ **NUMBER**
____ **DON'T KNOW**

What is the estimated number of GSL certifications for 1985-86?

____ **NUMBER**
____ **DON'T KNOW**

For planning purposes, we have established a tentative scheudle to visit all institutions this spring and trust that most institutions will try to accommodate that schedule so the Department of Education will receive our findings by mid-summer.

I have a checklist of items to ask you regarding our visit to your institution:

Our interviewer is tentatively scheduled to begin the visit to your institution on ________ 8:00 A.M. Is that date and time acceptable to you?

____ **YES**
____ **NO**
____ **8:00 A.M. UNACCEPTABLE.** What time can our visitor arrive to get in a full day's work?

RECORD TIME ______________

Where is the Student Aid Office located? (RECORD BUILDING, STREET ADDRESS, IF APPROPRIATE FLOOR AND ROOM NUMBER.) ______________

EXHIBIT 4-1 TITLE IV SCHEDULING SCRIPT (EXCERPT)

Westat's telephone staff immediately reported every case in which a school would not agree to a visit on the preferred date to our data collection manager, who rescheduled other schools for alternative dates if necessary. To minimize the number of changes and the number of times individual directors were called back, rescheduling was, whenever possible, limited to schools that had not yet been reached. If a school did have to be called back to reschedule a visit, we used a rescheduling script for that purpose (Exhibit 4-2).

A small number of institutions did not want to participate in the study at all, and were referred by the callers to the manager of data collection. She contacted the financial aid administrator at each of these schools and discussed their reasons for refusing and their obligation to participate. Those institutions that still refused were referred to our ED project officer. All of the 10 institutions referred to the Department eventually agreed to be visited.

A few schools which were difficult to reach were called directly by Advanced Technology staff after the scheduling period had formally ended. After all schools had agreed to visit dates, we compiled a schedule for each data collector listing the dates and places of the visits. The data collectors were also provided with copies of the completed scheduling scripts for each of the institutions assigned to them.

Several institutions had specific reasons which prevented our scheduling a visit on or even near the date we preferred. For some, our

RESCHEDULING SCRIPT

Hello, this is ______________________, from Westat, Inc. (I/One of our other callers) previously made an appointment for our data collector to interview (you/the director) and review some of your financial aid records as part of the Title IV Quality Control Study. That appointment was for (DATE OF ORIGINAL CONFIRMED VISIT). ________

We have had a scheduling problem with another of the sample institutions in your area. So that we don't have to make a special trip for just that school, we would like to change the date of our visit to your office to (NEW PREFERRED DATE). _________ Could you accommodate us on that date?

YES Thank you very much. Our visitor will be there on (NEW PREFERRED DATE). (END INTERVIEW)

NO Are there any other dates between _________ and _________ on which we could reschedule our visit?

YES What are the other dates? (RECORD DATES)

____

I will let our scheduling supervisor know about these alternatives and he will get back to you. We appreciate your patience as we try to work out the best schedule for all the schools in the sample. (END INTERVIEW)

NO O.K., we will be there on the date we originally agreed to. That is (DATE OF ORIGINAL CONFIRMED VISIT). Thank you for your consideration. (END INTERVIEW)

COMMENTS

EXHIBIT 4-2 TITLE IV STUDY RESCHEDULING SCRIPT

preferred date coincided with an especially intense activity such as award packaging or registration, or with spring vacation. Such scheduling conflicts affected other institutions in the same region, which required not only significant rescheduling, but also the extension of the field period from 6 to 7 weeks in some regions. Such scheduling conflicts also required us to make extensive use of our alternate data collectors, since several schools had only one date open. All of our alternates were scheduled for institutional visits before the actual field period began.

After we had agreed on a date with each institution, we sent each one a letter as a reminder and written confirmation. These letters also included a list of information which the data collector would need for the visit, to enable the aid administrators to gather these materials ahead of time.

We required the data collectors to call each of the scheduled institutions in their regions to confirm the visit about a week in advance. As in previous data collections, the confirmation calls provided an opportunity for the data collector to introduce him- or herself to the financial aid administrator (FAA) and to begin to establish the rapport that was necessary for a successful visit. Most data collectors reported that their calls were welcomed by the FAA's, who were reassured by the data collector's clarification of the nature of the site visit and review of documents and materials needed to conduct the visit. The calls also allowed the data collectors to learn about the organization and location of the office and to identify potential data collection or scheduling problems. If problems were uncovered, there was time for the project staff and the data collector to resolve them before the visits.

4.4 TRAINING THE FIELD STAFF

Since all the field staff were experienced financial aid administrators, no special training was needed on the Pell Grant, Campus-Based, and Guaranteed Student Loan programs. Therefore, it was possible to devote the entire training session to interviewing and sampling techniques and to completing correctly a Student Data Form (SDF) and Student Record Abstract (SRA) for each student in the sample. The training agenda is shown in Exhibit 4-3.

	MORNING	AFTERNOON
DAY 1	- Introduction - Project Overview - Data Collectors' Tasks - Expense Accounting	- Introduction to Institutional Interview - Practice Sessions - Discussion
DAY 2	- Clock Hours vs Credit Hours - Sampling Training - Introduction to Student Record Abstract (SRA)	- SRA Practice and Discussion
DAY 3	- SRA Practice - Travel Information	-SRA Practice - Exit Interview - Coding, Editing and Reporting
DAY 4	- Field Practice	
DAY 5	- Final Instructions	

EXHIBIT 4-3
TITLE IV QUALITY CONTROL PROJECT
TRAINING PROGRAM AGENDA

4.4.1 Training Materials

We developed two manuals specifically for the data collectors: the Data Collector Training Manual and Question-by-Question Specifications.

The Data Collector Training Manual covered general procedures to be used in the field:

- Description of Advanced Technology and the Title IV Quality Control Project
- Overview of survey research and interviewer tasks for the study
- Confidentiality procedures and rights of respondents
- Preparation for site visits
- Conducting the interview
- Conducting the verification of 1984-85 Pell Grant recipient enrollment
- Sampling procedures
- Procedures for completing the Student Record Abstract
- Exit interviews
- Field editing and reporting
- Travel and accounting procedures

The Question-by-Question Specifications contained a separate section for each of the three principal data collection documents to be used in the field: the Student Data Form (SDF); the Institutional Questionnaire (IQ) for the interview with the financial aid director; and the Student

Record Abstract (SRA). Within each section, each page of the form was reproduced with instructions, definitions, etc., for the items on that page printed on the facing page.

Because the Title IV regulations are long and complex, we could not anticipate in training every question which could arise in the field. Therefore, we provided the following reference documents to the data collectors:

- Current Title IV Regulations
- Federal Student Financial Aid Handbook
- Manuals from the Student Financial Administrators Training Program (SFATP):
    - Index of Regulations
    - Aid Administrator's Guide to IRS Forms and Schedules
- 1985-86 Pell Grant Validation Handbook.

4.4.2 Training for the Institutional Interview

Since our data collectors had considerable experience in reviewing Student Aid Reports (SAR's), income tax forms, and other documents in student aid files, but little or no experience in conducting structured interviews, we devoted a greater proportion of the training to the interview than the amount of time required for it in the field would suggest.

During the first day of training, we introduced the data collectors to the Title IV Quality Control Project in general, focusing on its objectives and study methodology. We gave each data collector the opportunity to practice the institutional interview in its entirety, with project training staff monitoring and answering questions. Our trainer/monitors also demonstrated and explained some specific techniques and strategies which they had used successfully in their interviews in Stage One.

4.4.3 Sampling Training

Sampling of students was an integral part of each site visit and, therefore, an important component of training. This was also a challenging part of the training since few data collectors had experience with drawing random probability samples for research purposes. Westat staff assisted Advanced Technology project staff with this portion of the training. The sampling training covered three topics: general sampling principles; sampling lists to be provided by the institution; and use of the sampling worksheets.

A Westat statistician who was involved in the previous Pell Grant quality control studies introduced data collectors to the concepts of randomness and potential sources of bias. A member of the project staff explained the various types of lists which would be encountered and how to draw samples of students from them during the site visits. Data collectors received instruction and practice in the use of "clean" and "contaminated" sampling lists. Clean lists are developed by the institution and contain the names of all students in the sampling frame (Pell or Campus-Based recipients or GSL certifications) without duplication or extraneous names. Contaminated lists contain extraneous names, duplications, or both. The trainers introduced various techniques for cleaning contaminated lists prior to sampling, if practicable, and offered techniques for sampling from contaminated lists if cleaning was impracticable.

The data collectors were also trained to use the sampling worksheets to select students from sampling lists in the field. The training session included practice sessions in which data collectors drew samples from various types of lists using sampling worksheets. Project staff reviewed the completed exercises and discussed them with the group. Finally, the staff instructed the data collectors about conditions under which the project office should be contacted concerning sampling issues.

4.4.4 Student Record Abstract Training

Although our field staff had extensive experience with the student aid forms and validation documents from which they were to collect the data on individual students, they lacked sufficient experience in filling out and editing study forms so that everyone would collect the same information in a format that could be coded easily at the project office. Therefore, we reviewed the SRA in detail, defining exactly what information we wanted, how it would be used, and what documentation was desired, and discussing possible problems and answering questions. The most important part of the training was a series of exercises in which the data collectors were given student aid files for actual students (identity masked) from which to practice filling out SRA's. We then reviewed the data and discussed the correct way to record the data on the forms. The project staff also conducted a special training session on some of the unusual situations which might be encountered in the field, as well as a special session on proprietary institutions, since most data collectors came from traditional, credit-hour institutions.

4.4.5 Field Practice

On the last day of training, we sent the data collectors in groups of three or four to seven local institutions which were not included in the study. Each group was accompanied by a member of the project staff or by a trainer/monitor. The purpose of these visits was to give the data collectors an opportunity to practice the interview and complete SRA's under conditions which more closely approximated field conditions. The institutions that participated in field practice represented a variety of types and control and sizes.

We had arranged beforehand to interview the financial aid director at each practice site. Each of the data collectors did part of the interview. We had also asked the financial aid director to allow the data collectors to draw a sample of cases from their files. These were not a random sample, but did provide practice with real files and, at some sites, computerized record systems.

In the evening after the field practice, we discussed and evaluated the day's experience. The data collectors shared the lessons they had learned and the project staff answered questions.

4.5 FIELD SUPERVISION

Supervising the data collectors posed special problems because they were dispersed throughout the country and were moving to a different city at least weekly and often every few days. Monitoring each data collector in the field for only 1 day each absorbed the monitors for the first 2 weeks of data collection. During the remainder of the field period, most of the supervision had to be by mail or telephone.

4.5.1 Monitoring the Site Visits

The monitors, themselves experienced data collectors, visited the data collectors during the first 2 weeks of the field period to observe how they interviewed financial aid directors, selected the student sample, and completed SRA's. All monitoring was conducted on the first day of each site visit to accommodate all three components of the visit. Two site visits were also monitored by our ED project officer. During these monitoring visits, the monitors answered questions which had not arisen during training, corrected some minor errors in completion of the SRA's, and made other suggestions to the data collectors. They found no systematic errors in the data collectors' performance of their duties. All monitors submitted both oral and written reports of all monitoring visits to the manager of data collection.

4.5.2 Telephone Validation

As a continuing check on the performance of the data collectors and to introduce a different perspective, we conducted validation by telephone throughout the field period. We called each of the financial aid directors who had been visited during the first week, except those where a staff monitor accompanied the data collector, and administered a brief questionnaire which included an open-ended question about the data collector's performance. For each week thereafter, we called about half of the financial aid directors who had been visited. In total, staff completed 212 validation calls, or 71 percent of all institutions. Through validation calls and monitoring, quality control checks were completed at 79 percent of the institutions visited.

Only two problems were raised in the validation calls; neither was confirmed by any of the calls to the other sites visited by those two data collectors, which were uniformly positive. In general, the responses to the final, open-ended question praised the professionalism, knowledgeability, and cooperativeness of the data collectors. In addition, senior project staff made validation calls to those institutions where we had encountered any difficulty in either scheduling, sampling, or file review to ensure resolution of those problems.

4.5.3 Telephone Supervision

Regular and structured communication with the data collectors provided the most comprehensive means of field supervision. Each data collector had a scheduled time at which to call the field supervisor each week. (Exceptions were made only in the case of an interview which interfered with the call because of a time zone differential or if the data collector was scheduled to be traveling.) The scheduled call was an opportunity for the field supervisor to review the previous site visits and discuss future visits with each data collector, including prospective problems uncovered by the confirmation calls. The data collector could also raise any problems which had not required immediate consultation with the project staff. The field supervisor used a form that served as an agenda of items to review with the data collector and provided a place to record responses and problems. The weekly call also gave the field supervisor a chance to discuss other problems with the data collector, especially those which had surfaced during editing by project staff, but were not serious enough to demand an immediate call, such as missing SRA items which required a call from the data collector to the institution. The field supervisor also informed the data collectors about errors in the completion of SRA's that did not require calling the institutions for further data, such as inadequate field editing. The project staff used forms for this purpose which were placed in each data collector's file.

4.5.4 Monitoring Field Sampling

We provided the data collectors with three unique sampling worksheets for each institution. These worksheets contained line numbers, based on our estimates of the measures of size, that they would use to draw the sample from the Pell and Campus-Based recipients and GSL certification lists at the institution.

The data collectors carried out the Pell and Campus-Based sampling very well, since most institutions had recipient lists available and the measures of size used by the project office to generate the lists were relatively accurate. Where measures of size were not accurate, the sampling worksheets included instructions for dealing with several specific problems. In those cases where the data collector could not sample from the existing list, project staff were able to resolve the problem. Even though we had revised our scheduling procedures, as discussed in Section 4.3.2, to obtain better measures of size for all programs than in past data collections, many institutions had still given us only rough estimates. Consequently, data collectors frequently required technical assistance from the field supervisor. This involved generating new sampling line numbers using the measure of size obtained by the data collector. This then required later revisions to the weights assigned to students from these institutions. Nevertheless, all site visits proceeded smoothly with the assistance of the project office and no site visits were extended because of sampling problems.

4.5.5 Resolution of Problems in the Field

Calls from the data collectors to the field supervisor were more frequent than regularly scheduled calls, especially during the early weeks of the study. These calls dealt with unique or unusual situations at particular institutions that had not been covered during training or with questions concerning sampling and the SRA. The answer to a particular question about the SRA often depended on the purpose of the item or how the data would be used in analysis, so the manager of data collection often checked with other project analysts.

The subjects of all data collector inquiries and their responses were documented in call logs. Most frequently, the calls concerned sampling students at individual institutions. These problems included unavailability of sampling lists and inability to draw a sample within the minimum and maximum numbers provided on the sampling worksheets. In the case of sampling list problems, various methods taught in the sampling training session were employed, primarily counting folders or data cards. Problems related to drawing the sample were minimized by the field supervisor's providing new line numbers over the telephone. These new sampling numbers were generated by pre-established procedures and recorded at the time of the phone call.

The other major reason for calls from the field to the project office, or vice versa, concerned the data collectors' travel arrangements. All field staff were required to inform the project office of any changes they wished to make in their itineraries, and not to make those changes without approval from the field supervisor. In virtually every case, these changes were not only for the convenience of the data collector, but also saved money.

Problem resolution was also facilitated by the use of a telephone answering machine in the project office, for problems that arose outside of normal business hours. Evening messages were handled promptly the next morning; project staff monitored messages during weekends as well. These calls generally concerned unforeseen circumstances related to travel, such as weather, or questions about field editing of the data.

The availability of four alternate data collectors - people who for various reasons could not commit themselves to seven uninterrupted weeks of training and travel - was an invaluable resource in maintaining the data collection schedule.

4.5.6 Schedule Changes

A major rescheduling occurred during training week, due to the loss of a data collector because of a family emergency. His entire assigned region was rescheduled for the end of the field period, which resulted in an 8-week data collection, rather than 6 weeks as originally planned. Three data collectors volunteered to work the extra time necessary to visit the schools in this region. All of the rescheduling and reassignments were completed on the same day that the original data collector withdrew from the study.

During the field period, several institutions asked to change the date of their site visit. In every case we were able to accommodate the request, even though in several cases this also required rescheduling other institutions and reassigning data collectors. Two institutions were dropped from the study during the field period. Since both were only single-day visits, there was only a minimal effect on the data collectors' schedules.

Resistance on the part of several institutions to collecting certain types of data or any data caused greater problems. One institution initially would not allow us to collect identifying information on sampled students maintaining that university policy required permission from the students prior to their inclusion in the study. After several discussions between the ED project officer and the FAA in which the FAA was informed of the exclusion of financial aid records from protection under the Privacy Act, the institution permitted the data collector to proceed.

Several institutions that had initially declined to be visited were not in the original master schedule, since it took some time to resolve these cases. The master schedule did, however, contain open dates to accommodate these institutions once their situations had been resolved, either through project staff or the ED project officer. All of them were eventually persuaded to participate in the study, and as each of these cases was resolved, the schedule was adjusted and a data collector was assigned. This resulted in some rescheduling of institutions throughout the field period.

One institution which had originally refused later complied with the visit. This was one of the two instances where the institutional interview - which was voluntary - was not conducted. The lack of cooperation and assistance experienced by the data collector caused this visit to be extended in order to complete the sample.

4.5.7 Field Expense Reporting

Advanced Technology instituted a set of cost-reimbursement policies and explained them to the data collectors during training (Exhibit 4-4). Data collectors were required to submit comprehensive daily expense statements with receipts and to maintain personal daily expense logs. When these daily reports were late or slow in arriving, we called the data collectors. In a few instances, the field supervisor asked about unusual expenses during weekly calls; she also notified data collectors about non-reimbursable expenses at that time. Non-reimbursable expenses consisted mostly of meals and personal telephone calls which had gone over the weekly limit or other personal expenses.

RULES FOR REIMBURSEMENT OF EXPENSES TO BE INCURRED DURING THE SPRING 1986 QUALITY CONTROL DATA COLLECTION

1. No Receipt = No Reimbursement.
2. Personal meals (including tips) will be reimbursed up to ______ per week
3. Personal long distance telephone calls will be reimbursed up to ______ per week.
4. Any "no show" charge incurred as a result of an interviewer's faulure to cancel motel reservation will be deducted from his/her paycheck.
5. A maximum is set for dry cleaning and laundry.
6. Gasoline for business use of a rental car is reimbursable if properly receipted.
7. Business use of a personal car will be reimbursed _________ per mile; this includes gasoline.
8. Gasoline expenses incurred as a result of personal use of a rental car will not be reimbursed. However, you must document all personal mileage.
9. Local travel from the Washington, D. C., area to Reston for training is not reimbursable.
10. Parking violations, speeding tickets, and other such expenses are non-reimbursable expenses.
11. Taxis are reimbursable only where public transportation is not available.
12. Traveler's check cashing fees are reimbursable with documentation.
13. Miscellaneous items necessary to the data collection such as: postage, copying, pens, paper, and local maps will be reimbursable with receipts
14. For items for which receipts are not normally given (i.e., subway tokens, vending machines, coin operated washing machines), blank receipts (provided by us) must be filled out. With such documentation these expenses will be reimbursed up to ______.
15. Tips for porters and bellboys are reimbursable up to _______ for the entire data collection period.
16. Retroactive expenses are nonreimbursable except for motel bills which carry over into the next reporting period.
17. Any increase in airfare due to voluntary changes in flights without prior approval from the Field Supervisor will be deducted from the interviewer's paycheck.
18. Any change in lodging arrangements that increases the cost over the scheduled arrangement will be charged to the interviewer unless prior approval has been obtained from the Field Supervisor.

EXHIBIT 4-4
COST REIMBURSEMENT POLICIES

We required the data collectors to notify us of travel changes in advance. Once they reached the appointed cities, some data collectors found hotels that were both closer to their schools and cheaper than the ones that we had been able to reserve at a distance.

4.5.8 Field Staff Reports

At the end of data collection, we asked each data collector to submit a written field report covering a list of topics we supplied. Some of the reports were quite detailed, and the data collectors were thoughtful and constructive in their comments.

The field reports indicated that many of the procedural revisions we had made since Stage One had resulted in improvements in the data collection. We had increased our efforts to give the institutions more information to enable them to be better prepared for the visits, and we were more assertive about getting better information from them regarding measures of size to improve student sampling. These two changes meant that the visits were conducted much more efficiently than in the past. Changes in the format of the sampling worksheets and in the instructions on using them resulted in fewer calls to the project office for sampling assistance. Changes in the format of the Question-by-Question Specifications (Q by Q's) ensured their extensive use in the field in Stage Two.

Some aspects of the data collection did not change, however. The instruments, the Institutional Questionnaire (IQ), the Student Data Form (SDF), and the Student Record Abstract (SRA), took about the same amount of time to administer as before - about 1 1/2 hours for the interview, about 15 minutes for the Student Data Form, and almost an hour for each SRA. These constants indicate that many of the factors that affect the efficiency of data collection are dependent upon the institutions themselves. Also, despite individual variations, our data collectors encountered a consistent range of: cooperation from FAA's, ease or difficulty of sampling, and level and appropriateness of file documentation.

Most directors of financial aid were well prepared for the visit and interested in the study, although many expressed some anxiety about being visited. The data collectors were sensitive to this and tried to do their job as quickly and efficiently as possible. The confirmation calls helped the FAA's to understand the nature and purpose of the visits, as well as the data collectors to understand context and characteristics of the financial aid office.

Most of the data collectors' reports expressed satisfaction with training, despite the intensity of four very long days. Field practice was, again, a very important component of training. The field staff appreciated the efforts of the staff in turning them - at least temporarily - from practitioners into researchers.

They also expressed satisfaction with the level of support and responsiveness of the project staff while they were in the field. The data collectors' overall impressions of their field experiences generally focused on their receptions by the institutions, as noted above, as well as their own observations about the efforts and quality of the financial aid offices' operations. Most had the opportunity to view a wide variety of situations, gain an understanding of program intent and procedures, and develop a sense of commitment to program quality and quality control.

4.6 QUALITY CONTROL OF THE FIELD DATA

In order to ensure the quality of the institutional data, we implemented several procedures to review the incoming forms and correct any problems which might have occurred. These review procedures began during the field period, and continued until the data were considered "clean" and ready for analysis. Exhibit 4-5 shows the various quality control procedures we used.

4.6.1 Field Editing

The data collectors were instructed during training to review all materials after each site visit and to edit for completeness, accuracy, and legibility before mailing. This provided them with the opportunity to correct any coding errors they may have made, such as not following skip patterns correctly, zero-filling, or justifying margins. Field editing also allowed the data collectors to make additional marginal notes to explain institutional procedures and individual circumstances, and to clarify explanations of open-ended or "other" responses.

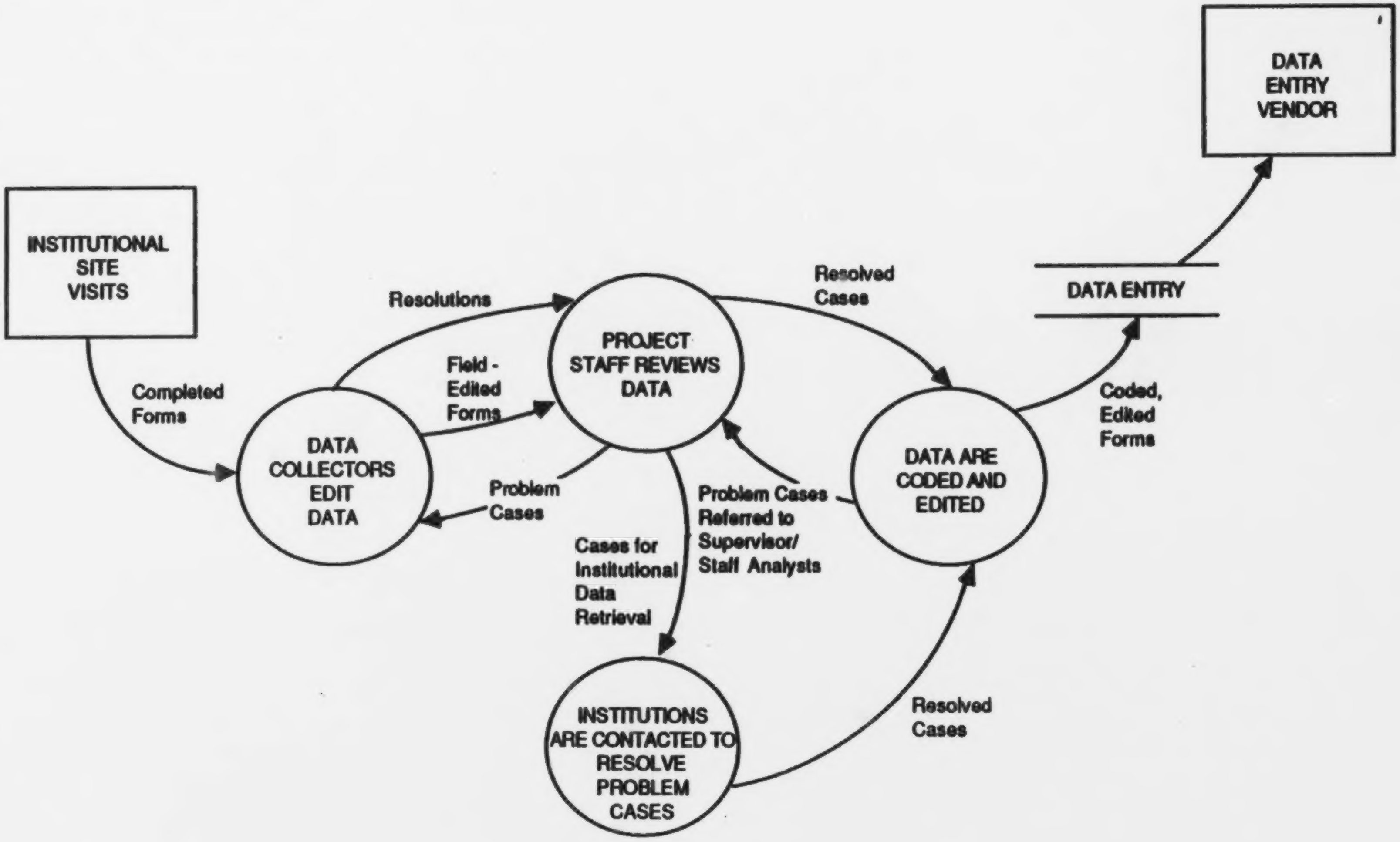

INSTITUTIONAL SITE VISITS
Completed Forms
DATA COLLECTORS EDIT DATA
Resolutions
Field - Edited Forms
Problem Cases
PROJECT STAFF REVIEWS DATA
Cases for Institutional Data Retrieval
Problem Cases Referred to Supervisor/ Staff Analysts
Resolved Cases
DATA ARE CODED AND EDITED
INSTITUTIONS ARE CONTACTED TO RESOLVE PROBLEM CASES
Resolved Cases
Coded, Edited Forms
DATA ENTRY
DATA ENTRY VENDOR

EXHIBIT 4-5
QUALITY CONTROL OF FIELD DATA

4.6.2 Project Staff Review

As soon as the data collection materials began arriving from the field, project staff reviewed the work of all the data collectors. These reviews, together with the monitors' reports, formed the basis of the early supervision calls, wherein the manager of data collection discussed any items that needed correcting, and gave the data collectors general feedback about the quality of their work.

The data collectors were told during training that they were our primary contact with the institutions during the field period. Consequently, any questions that arose about data from the SRA's were referred to them for resolution. In most cases, the data collectors were able to answer these questions immediately for the field supervisor; if not, it was their responsibility to call the institutions. Calls to institutions for data retrieval frequently concerned information on the Student Data Form, which was often very difficult to obtain. Financial aid offices do not consistently maintain locator information for their students or the students' parents; in addition, the accuracy of that information was difficult to verify.

The coding supervisor also reviewed every SRA after the initial round of coding. She referred any problem cases for discussion with the data collectors. Forms from approximately 95 percent of the institutions visited underwent this review before the end of the field period. This procedure proved to be very effective in resolving many questions before the data entered the editing phase.

4.6.3 Data Editing and Data Retrieval

The coding and editing process, which will be discussed in greater detail in Chapter 6, was designed to include several quality control checks on the data. Each coder was assigned the work of specific data collectors, so that any consistent problems with following instructions would be more noticeable. The coders also batched the instruments by institution, coding the Institutional Questionnaire (IQ) at the same time as they coded the Student Record Abstracts (SRA).

The coding staff were also able to use many of the documents obtained during the site visits to understand and resolve questions about the data that arose during the coding and editing process, but after the field period.

Many questions required a wider knowledge of student financial aid and the Title IV programs, and were referred to project analysts for resolution. A small percentage of the cases could not be resolved by project staff, however, and in these cases it was necessary to call the institutions for data retrieval. No specific item, or group of items, required data retrieval more frequently than any other. We were able to minimize, through in-house editing and staff reviews, not only the total number of cases which required institutional data retrieval, but also the burden on the institutions which did have to be called. If it was discovered that a call was necessary for one case, then all the cases from that school were reviewed before the call was made, to prevent a series of calls to one school.

Since data retrieval by telephone was a potentially sensitive issue, the calls were made only by designated staff members. Most were made by the same person who had done the validation calls, and was therefore somewhat familiar to the financial aid administrators. A number of calls were also made by the manager of data collection, particularly if there was reason to expect some resistance to data retrieval; she was able to respond to concerns, answer questions, and obtain the necessary information. Virtually all the FAA's who were called were fully cooperative with our requests and data retrieval was completed smoothly.

5

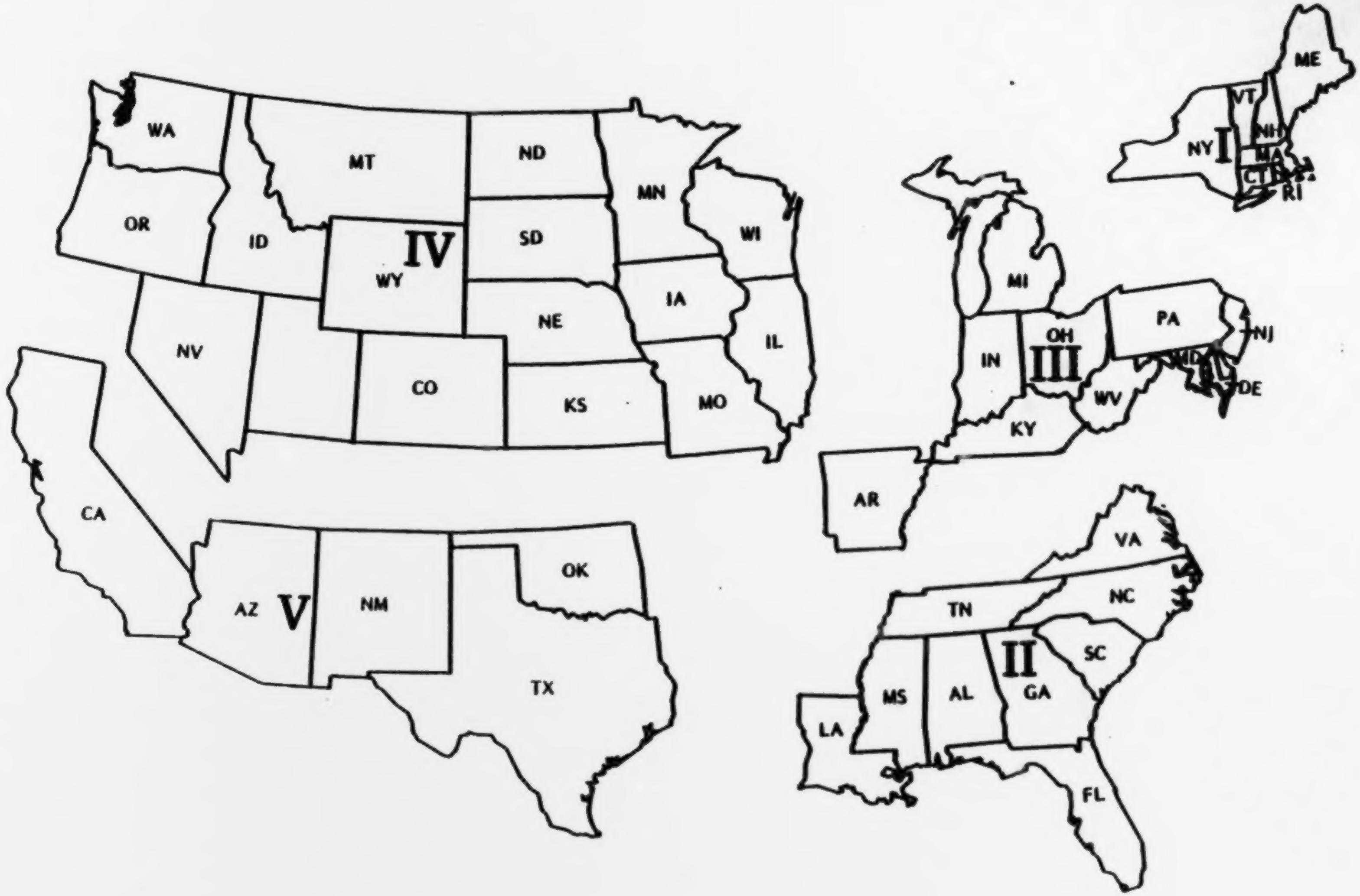
STUDENT, PARENT, AND SECONDARY DATA COLLECTION

The methodology used in the Title IV Quality Control Project depended upon the analysis of data acquired from various sources related to each sampled student's financial aid award. Data from each of the sources was used to verify or refute the amount of aid that each sampled student received. In addition to the individual-level data abstracted from the financial aid files at each of the sampled institutions, information was also obtained from the sampled students themselves, their parents, the Internal Revenue Service (IRS), financial institutions, and tax assessors. The data from students, parents, and the secondary sources was collected by Westat, under a subcontract to Advanced Technology.

This chapter discusses the student and parent survey, and the secondary data collection, including the organization of the field staff; supervisor and interviewer training; student and parent interviews; and the Automated Survey Control System (ASCS).

5.1 ORGANIZATION OF THE FIELD STAFF

Conducting a national-scale survey of the scope of the student and parent data collection required close supervision by experienced field supervisory staff. Five supervisory regions were set up, with each region containing roughly the same number of interviewers. Exhibit 5-1


ME
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MD
DE
WV
KY
CA
AR
VA
OK
AZ
V
NM
NC
TN
II
SC
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EXHIBIT 5-1
STUDENT/PARENT DATA COLLECTION
REGIONS

shows the five regions. The field network for the student and parent survey was constructed so that the five supervisors assigned to the project could effectively manage the 100 interviewers hired and trained to complete the interviews. The field supervisors were regionally based, one supervisor and an assistant in each region. The number of sampled students in each region varied from about 1,000 to almost 1,500. The reason for the variation in the number of sampled cases by region is that in some regions, the cases were more dispersed than others, requiring more interviewer time per case than in regions where the cases were more clustered.

The supervisors were in almost daily contact with the interviewers, reviewing the progress on cases that had been assigned and assigning new cases as needed. The supervisors reported to the Westat field director, who carefully monitored progress in all regions, and participated in the decisions regarding travel and reassignments. Supervisors were also in frequent contact with the data preparation manager on specific cases and for quality control. Also, frequent communication was required between the supervisors or their assistants and the project programmer, so that the Automated Survey Control System (ASCS) could function properly.

The supervisors and their assistants recruited and hired the interviewers during February 1986. Of the 100 interviewers hired and invited to training, most (64 percent) had worked on at least one previous quality control survey (BEOG, Pell Grant, or Title IV Stage One). They were recruited and selected from interviewer records, which were sorted by geographic area. Although we would not know the actual location of the sampled students until much later, we did know the institutions which were in the sample, and established the field plan based on our estimates of the likely number of students who would be sampled at each institution.

5.2 SUPERVISOR AND INTERVIEWER TRAINING

Training for field supervisors and interviewers was conducted by Westat project staff. Two training teams, of three trainers each, were used to conduct two concurrent interviewer training sessions. The lead trainer on one team was the same person who had designed the session, and the other was the Westat field director. The field supervisors and the assistant field supervisors were also experienced trainers, and served as "community leaders" in the training sessions.

Home study materials had been sent to the interviewers' homes prior to the training session. They were required to review these materials and to complete an exercise on the materials to hand in at training. All of the interviewers were given an interviewer's manual and information packet when they arrived at the training site. The two interviewer training sessions were conducted in Tampa, Florida, and San Antonio, Texas in late March 1986. Less experienced interviewers, and a few experienced interviewers who felt the need for review, attended an extra session on general interviewing techniques.

The supervisors and assistants were also trained on the operation of the new PC-based ASCS equipment and procedures. The two project programmers who had designed the system were sent to the training sites to work with the supervisors and assistants on the new ASCS. This training was done the day before interviewer training began, and in the evenings until the field staff was familiar with the operation of the ASCS and the equipment.

The first day of training for all interviewers included an overview of the study and of the Title IV programs, and an overview of all of the procedures and materials that would be used for the survey (see Exhibit 5-2). Also included was a role play session on the student questionnaire, and a discussion of the role play session. The second day covered the question-by-question specifications for the student and parent questionnaires, and handling special problems like refusals and answering respondents' questions. Lecture sessions were done interactively,

DAY 1	**MORNING** - Introduction and Project Overview - Interviewers' Tasks and Materials - General Interviewing Techniques - Use of Documents - Telephone Techniques	**AFTERNOON** - Interviewing Techniques and Role-Play
DAY 2	**MORNING** - Questions and Answers - Respondent Questions - Role Play	**AFTERNOON** - Role Play Discussion - Handling Special Problems - Role Play
DAY 3	**MORNING** -Pre-field Procedures -Field Procedures and Call Records -Reporting -Role-Play	**AFTERNOON** -Summary -Distribution of Supplies -Assignments

EXHIBIT 5-2
WESTAT INTERVIEWER TRAINING AGENDA

interactively, with an overhead projector to display the sections of the questionnaire which were being discussed. On the third and last day of training, the question-by-question specifications for the parent questionnaire were completed, and administrative procedures were presented. A final examination was given at the conclusion of the session. All of the interviewer-trainees successfully completed training except for two, one at each training site. Both were dismissed.

There were three areas of the country where, after the student sample began to be received, a need to train additional interviewers was identified. The first additional training session was held in Boston, to train three interviewers for the northeast. Another interviewer was also trained to work in the southern region, and another to work in central Pennsylvania.

Based on both their performance in training and the quality of the completed questionnaires that were received from the field, the training sessions prepared the interviewers well for their work. Even those interviewers who had never worked for Westat before did not have significant quality problems.

5.3 STUDENT AND PARENT INTERVIEWS

The sample selection process yielded a nationally representative sample of students receiving Pell Grants, Campus-Based awards of various types, or Guaranteed Student Loans. The basic locator information for these students and, in most cases for their parents, was obtained by Advanced Technology data collectors who visited the institutions during February, March, and April 1986. Personal interviews with these sampled students and their parents were needed to confirm demographic and financial data about the students and their families and to obtain documented confirmation of information that had been reported on their aid applications.

5.3.1 Receipt of Samples from Advanced Technology

As each student was sampled at the selected institutions, the Advanced Technology data collector completed a Student Data Form (SDF) which contained basic contact information on the sampled student and the student's parent (if such information was contained in the files at the institution, see Exhibit 5-3). These completed SDF's were sent back to Advanced Technology, where they were edited, copied, and forwarded to Westat to be processed and sent into the field as student and parent assignments. The processing at Westat involved keying the SDF's and entering them into the receipt control file. Computer-generated mailing labels, questionnaire labels, and "mini-labels" containing only the ID number were then produced. Assignment case folders were assembled, consisting of a call record form for each case, with both a student and a parent label on the cover, and extra labels and mini-labels stapled to the inside. An advance mailing package, to be sent to each sampled student and parent, was also assembled at this time.

1985-86 TITLE IV QUALITY CONTROL STUDY
STUDENT DATA FORM

STUDENT IDENTIFIERS

1. Study ID Number ☐☐ ☐☐ ☐☐ (1, 3, 5)
2. Social Security Number ☐☐☐ - ☐☐ - ☐☐☐☐ (7, 10, 12)
3. Last name ☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐ (16–32)
4. First name ☐☐☐☐☐☐☐☐☐☐☐☐ (33–44)
5. Middle initial ☐ (45) 5a. Other names, Jr., etc. ____________ (Specify)

STUDENT'S CURRENT OR MOST RECENT ADDRESS

6. Street ☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐ (50–68)
7. Apartment No. ☐☐☐☐
8. City ☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐ (69–86)
9. State ☐☐ (87) 10. ZIP ☐☐☐☐☐ (89–93)
11. Telephone ☐☐☐ ☐☐☐ ☐☐☐☐ (94, 97, 100–103)

STUDENT'S PERMANENT OR OTHER ADDRESS

12. Same as current Address? ☐ (104) Yes (skip to Q18) ☐ (105) No
13. Street ☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐ (106–124)
14. Apartment No. ☐☐☐☐ (125–128)
15. City ☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐ (129–146)
16. State ☐☐ (147) 17. ZIP ☐☐☐☐☐ (149–153)
18. Phone ☐☐☐ ☐☐☐ ☐☐☐☐ (154, 157, 160–163)

PARENT INFORMATION

19. Father's last name ☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐ (164–180)
20. Father's first name ☐☐☐☐☐☐☐☐☐☐☐☐ (181–192)
21. Father's middle initial ☐ (193) 21a. Other names, Jr., etc. ____________ (Specify)
22. Mother's last name ☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐ (196–214)

1985-86 TITLE IV QUALITY CONTROL STUDY
STUDENT DATA FORM (CONTINUED)

23. Mother's first name ☐☐☐☐☐☐☐☐☐☐☐☐ (215–226)
24. Mother's middle initial ☐ (227)

PARENT'S ADDRESS

25. Same as student's current address? ☐ (228) Yes (Skip to Q31) ☐ (229) No
26. Same as student's permanent address? ☐ (230) Yes (Skip to Q31) ☐ (231) No
27. Street ☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐ (232–250)
28. Apartment No. ☐☐☐☐ (251–254)
29. City ☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐ (255–272)
30. State ☐☐ (273) 31. ZIP ☐☐☐☐☐ (275–279)
32. Telephone ☐☐☐ ☐☐☐ ☐☐☐☐ (280, 283, 286–289)
33. Whose address is this? ☐ (290) Mothers ☐ (291) Fathers

STUDENT AID INFORMATION

34. What aid programs does student get? CWS ☐ (292) NDSL ☐ SEOG ☐ GSL ☐ PELL ☐ (296)
35. Students dependency status? ☐ (297) Dependent ☐ (298) Independent
36. Date of applications? Mo. ☐☐ (299) Day ☐☐ (301) Year ☐☐ (303)

ADDITIONAL IDENTIFYING INFORMATION

Homeowner? ☐ (305) Yes,student ☐ (306) Yes, parent

Maiden name or other former name ____________

Address on admission ____________

Name and address of GSL lender ____________

Work address and telephone ____________

Other information ____________

EXHIBIT 5-3. STUDENT DATA FORM

An addition to the identifying information that was included on the label was an identifying "P" for Pell recipients. The "P" was added so that the interviewer would know which of the cases assigned to him or her were Pell Grant recipients, for whom some of the questions in the questionnaire were mandatory.

5.3.2 Case Assignments

Receipt of SDF's at Westat for processing and case assignment depended upon Advanced Technology's receipt of materials from the institutional data collectors. The student and parent data collection was scheduled after the institutional data collection, and ran from early March through early June 1986. The highest volume of interviews per week occurred from late April through late May, as respondents were contacted and scheduled to yield a backlog of assigned cases. All cases had been assigned by late April.

Assignments to interviewers were made by the field supervisors. Usually, the supervisors tried to keep interviewers supplied with 1 week's workload. In the early part of the field period, assignments were uneven due to delays in receiving the SDF's. Later, however, each supervisor tried to adjust the workload of all interviewers so that they had enough cases to work as many hours each week as they were scheduled. The allocation of assignable cases had to be done carefully, because interviewers worked different hours and often on different schedules. For example, some interviewers worked only 20 hours each week, while others worked full time, and some interviewers worked in the evening and on weekends, while others had no such preference.

In an effort to reduce the impact of the delay in getting assignments out to interviewers, the interviewers were instructed to conduct the student interviews first, saving the parents until later in the field period. This was done so that the students could be interviewed before they left school for the summer. Sometimes, however, an interviewer arrived at the home of a parent for an interview and found that the student was also there. The interviewers were instructed to conduct the student interview then as well, even if the actual assignment folder was with another interviewer or even in another region. This procedure often required adjusting the recordkeeping for individual cases. The supervisors carefully monitored these situations, coordinating with both the Westat field director and the other regional supervisors when other regions were involved.

The parents of independent students were initially contacted by the field supervisors, and interviewed over the telephone. If during the telephone interview it appeared that the parent was actually the parent of a dependent student, the case was reassigned to an interviewer for an in-person interview.

5.3.3 Advance Mailings and Interviews

As the cases were prepared for mailing to each of the regional supervisors, advance mailing packages were also assembled and sent to each sampled student and parent. The first mailing was sent to the "current" address of the student, and to the parent at the student's reported "permanent" address. For most students, the current address was their school address, while their permanent address was their parents' address. The advance mailing included a letter explaining the study and soliciting the respondent's cooperation, a list of frequently asked questions, and a checklist showing the respondent the items that would be most helpful to have during the interview, such as copies of tax returns, rent receipts, medical and dental bill receipts, and so forth.

Cases were assigned to interviewers at the same time that these materials were being mailed. After an interviewer was given case assignments, he or she contacted the respondent by telephone to arrange an appointment, and answer any questions that the respondent might have.

Generally, the interviewing went very well. A 10 percent sample of respondents were contacted by telephone as a validation procedure; the ED project officer also monitored two interviews. No problems were identified as a result of these activities. As always, there were a few troublesome questions that were difficult for the respondent to understand. The questions that caused the most difficulty were the questions on taxable and nontaxable income, and the questions on household size and number in school; this was consistent with our experience in previous QC studies. Apart from these items, the problems with the questionnaires were minor.

5.3.4 Nonresponse Follow-up

The students who were selected for interviewing in the Stage Two survey were recipients of all five Title IV programs. For the Pell Grant recipients, participation in the survey was not strictly voluntary. While Pell Grant recipients were not required to answer all of the questions in the student questionnaire, they were required to provide the same information as required by the verification regulations. For sampled students who did not have Pell Grants, participation in the survey was voluntary. Moreover, at the direction of the Office of Management and Budget (OMB), a strong statement to that effect was added to both the student and parent questionnaires, which was read to respondents at the beginning of each interview. Even with these cautions included in the questionnaires, the refusal rate was about 7 percent, with total nonresponse from all causes at about 10 percent. This compares well with the results of previous QC studies, where the response rates were consistently around 90 percent in the earlier Pell Grant studies, and slightly below 80 percent for Stage One of the Title IV study.

The two main efforts employed in the field to minimize nonresponse were first, a vigorous refusal conversion program, and second, thorough tracking and tracing for hard to locate respondents. Both of these efforts were undertaken by the field supervisors, with the support of the Westat project office.

Students and parents who refused to be interviewed on the first contact from the interviewer were sent a letter, either from the Westat project office or from the regional supervisor, explaining the need for the data, and asking them to reconsider. Also included in the letter was a toll-free telephone number that the respondents could use if they had questions. After about 1 week, the field supervisor for the region where the "refuser" lived followed up the letter with a telephone call, again asking for the respondent's cooperation. If the supervisor was successful in converting the refusal, the case was immediately assigned to another interviewer to conduct the interview. If the conversion attempt was not successful, the case was closed out as a final refusal.

Initial tracing was done by the interviewer to whom the case was assigned. Tracing sampled respondents was also a part of the field supervisor's responsibility. Tracing began with data gathered by Advanced Technology data collectors during institutional visits. If parents could not be located through this information, more data were sought from former employers, etc. In most cases, the students required more tracing efforts than the parents, who tended to have more stable addresses. If the interviewer could not locate the respondent, the supervisor called the student's institution to ask for additional information that might lead to the respondent. These efforts were usually successful. While it was often difficult to schedule appointments with students because they were seldom at home, it was usually not difficult to find them, except at the end of the data collection period when they were more likely to have left the area where the institution was located.

5.4 AUTOMATED SURVEY CONTROL SYSTEM

Progress during the field data collection was monitored using the Automated Survey Control System (ASCS), a computer-based information system designed by Westat for use in the Title IV survey. The ASCS used personal computers (PC's) located in each of the field supervisors' offices to track the status of each student and parent case, and to compile summary reports which would allow the project management to monitor the entire data collection activity. An example of the ASCS reporting format is shown in Exhibit 5-4. There were seven basic procedures, as shown in Exhibit 5-5, programmed into the PC's, guiding the supervisors through each task:

- Assign cases to interviewers
- Enter and update disposition codes
- Enter interviewer hours
- Record interviewer expenses
- Reassign cases to another interviewer
- Transfer cases out of a region if new address information is found
- Produce weekly productivity and expense reports for the project office.

In addition, the ASCS could be used to produce special tabulations using any of the variables in the system.

5.4.1 Production of Weekly Progress Reports

ASCS was planned to operate within a procedural framework that allowed for weekly reporting and reduced to a minimum the time lag

REPORT PRODUCED: 07/08/86

REPORT 2

PELL GRANT

ALL REGION PRODUCTIVITY RATES
CUMMULATIVE TOTALS

EGION	ORIGINAL CASES	MOVE INS	MOVE OUTS	NET SAMPLE	CASES NEVER ASGND	TOTAL CASES ASGND	CASES ASSGND NO DSPSN	NOT WORKED AWAIT REASGN	* CASES WITH DSPSN	SAMPLE LOSS	NET DSPSNS	COMPLETES (11)	REF/ BO/ AVOID	NO RESPONSE	** RESPONSE RATE %
1	998	86	32	1051	1	1050	0	2	1049	29	1020	808	134	77	79.2
2	1142	42	24	1159	0	1159	0	23	1136	34	1102	993	52	54	90.1
3	1394	42	107	1329	3	1326	0	0	1329	42	1287	1146	98	43	89.0
4	1456	34	-48	1443	0	1443	0	0	1443	44	1399	1250	96	53	89.3
5	996	34	27	1004	0	1004	0	0	1004	63	941	824	52	65	87.6
TOTAL	5986	238	238	5986	4	5982	0	25	5961	212	5749	5021	432	292	87.3
NUMBER OF PAIRS												2262			

* EXCLUDES DISPOSITIONS 30 AND 40

** THE RESPONSE RATE IS COMPUTED AS THE NUMBER OF COMPLETES DIVIDED BY THE NET DISPOSITIONS.

EXHIBIT 5-4 ASCS SUMMARY REPORT

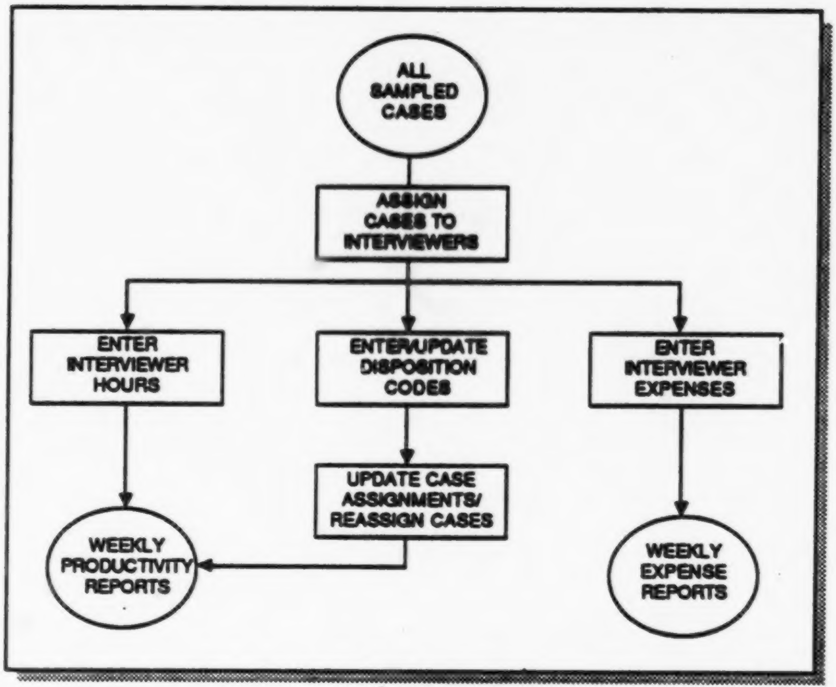
ALL SAMPLED CASES
ASSIGN CASES TO INTERVIEWERS
ENTER INTERVIEWER HOURS
ENTER/UPDATE DISPOSITION CODES
ENTER INTERVIEWER EXPENSES
UPDATE CASE ASSIGNMENTS/ REASSIGN CASES
WEEKLY PRODUCTIVITY REPORTS
WEEKLY EXPENSE REPORTS

EXHIBIT 5-5
FUNCTIONS OF THE AUTOMATED SURVEY CONTROL SYSTEM

between actual work completed and reported work completed. The five regional supervisors, using the procedures outlined in their manuals, called all of their interviewers on Tuesdays, and updated their production and expense information as a result of those calls. On Tuesday nights, the supervisors left their PC's on, so that files from the regions could be transmitted to the computer in the Westat project office, which would then generate the progress reports used in the project office, update the files, and transmit them back to the regions on Wednesday night. These reports were available to Westat project management on Wednesday morning, and reflected work that was completed in the field as of Monday evening.

Following the completion of the student and parent data collection, the supervisors shipped their computers to Westat (and separately sent their floppy disc files as a backup). The ASCS files were then matched with the receipt control so that all of the cases were accounted for in both systems.

5.4.2 Use of Weekly Progress Reports

Westat produced five weekly reports using the ASCS system. Reports 1, 4, and 5 were for the use of the field supervisors:

- Report 1: Weekly interviewer report
- Report 4: Interviewer disposition report
- Report 5: Region disposition totals report.

The interviewer report provided a list of all current cases assigned to each interviewer in the region. The list indicated how long the cases had been active so that the supervisor could take steps to bring them to completion if they had been active too long. The report also included the disposition codes for all cases, and hours and expenses for the supervisor's review.

The interviewer disposition report compared interviewers, case dispositions, response rates, and total hours and expenses. This information was used to evaluate the different interviewers' productivity and expense records and identify any situations outside acceptable ranges.

Report 5 gave the region disposition totals and let the supervisor know how each region was doing on an aggregate basis. Westat project staff reviewed these data with the field supervisor by telephone each Wednesday. The supervisor was advised of progress in other regions and what possible actions might be taken to improve the individual region's progress.

The two remaining reports were for Westat project management:

- Report 2: All-region productivity rates
- Report 3: All-region cost summary.

The productivity report was actually a series of eight reports giving dispositions of respondents classified by student/parent, dependent/independent and overall rates. These data were reviewed by the Westat field director and project manager and then condensed for a weekly report to Advanced Technology and ED.

The weekly cost report included a summary by region of total hours, total expenses, cost per completion, and other items useful as field survey management tools. These data were approximate, being updated later by actual time and expense reports, but provided the timely review of costs necessary to guard against variance from budget and unanticipated costs.

5.5 SECONDARY DATA COLLECTION

The methodology that was used in the quality control studies relied upon both data that was acquired during interviews with students and their parents, and information that was acquired from secondary sources. The secondary data was used to verify the information that was contained on the students' applications for Federal student aid, and to provide an additional source of documentation for information that may not have been readily available during the student or parent interviews. The most important of these secondary sources was the Internal Revenue Service (IRS). Students and parents were asked to sign release forms (IRS Form 4506), to request the IRS to provide us with copies of their 1984 income tax returns. However, data were also collected from banks and savings institutions on respondents' account balances as of the date of application, and from tax assessors on the value of the respondents' homes. The home value assessment was done for a 25 percent subsample of institutions in the study. For all those respondents from this institutional subsample who reported owning a home, we requested tax assessor forms.

5.5.1 IRS Tax Returns

The most important component of the secondary data collection was the acquisition of a copy of each student's and parent's 1984 tax return directly from the IRS. This data source was particularly important because the 1984 tax return represents the most objective source for verifying a variety of items that were included on the student's financial aid application. Since the copies of the 1984 returns were sent to Westat directly from the IRS Service Centers, there was no chance for the respondent to alter the return to reflect what was initially reported on the student's application for financial aid.

Arrangements were made with the IRS to obtain copies of taxpayer's returns using the same basic procedures that were used during previous rounds of data collection on the quality control studies. Agreement was reached with the IRS central office on the procedures that would be used to handle the requests. The central office notified the individual IRS Service Centers about these procedures, since they processed the requests and forwarded the copies of the returns to Westat.

The procedures that were established by the IRS first required that a release form, IRS Form 4506, be signed by the taxpayer authorizing Westat to receive the copies of the 1984 returns directly from the Service Centers. The 4506 forms that were used were modified for the Title IV study by filling out in advance the items specifying where the copies would be sent and the kind of information requested. A 4506 form, with instructions, was sent to each sampled student and parent in the advance mailing package along with the other materials explaining the study. Later, when the interviewers conducted the interviews with students and parents, they asked the respondents to again sign a 4506 that was bound into the questionnaire. While this procedure resulted in a great many duplicates, it also provided for a double chance of obtaining the signed form.

When the signed forms were received at Westat, either directly from the respondent using the copy of the 4506 form that had been included in the advance mailing, or from the questionnaire itself, the forms were logged in, separated according to the Service Center where the respondent had filed his or her tax return, and put into batches. A specially designed transmittal form was also filled out for each shipment.

Early in the field period, we were notified by the IRS that a routine review of these procedures by other branches in the IRS had produced some concerns about whether study participants were coerced into signing the 4506 forms. Specifically, the IRS was concerned that Pell Grant recipients, who were already required by program regulations to provide verification of certain application items, could construe our request as coercing them into releasing information in order to obtain student aid awards. Even for voluntary participants, there was concern that the respondent would feel coerced. We were therefore instructed to hold all of the 4506 forms that had been collected until the IRS could fully review the issues with their legal staff.

After careful review and discussion with ED project staff, and documentation of study procedures which provided adequate information of participants informed consent, IRS officials complied with our request to process the 4506 forms. We were instructed, through the Department of Education, to send all of the 4506 forms that had been received to the IRS main office. The IRS sent the completed forms to the 10 Service Centers, except for those forms which the IRS determined not to be clean enough to process. In most of those cases, the form either did not have a date of signature, or the date was unclear.

The 4506 forms which were rejected by the IRS included those which had been held beyond the IRS 60-day limit on processing requests for copies. These forms were returned to the respondents with a letter thanking them for their participation, and asking them to resign and date the form. A reminder letter was also sent, along with another copy of the 4506 form. Of the 490 forms that were sent back to the respondents for clarification, 289 were returned to Westat.

A total of 4,278 unduplicated 4506 forms were sent to the IRS. Usable copies of tax returns were obtained for 2,830. The IRS performed a system search for 1,408 returns, and confirmed that those respondents did not file tax returns in 1984. The 40 remaining forms had problems such as an incomplete signature, or a spouse signing the form for a single taxpayer who filed separately, or an incorrect Social Security number entered on the form. Since these problems with the forms occurred very late in the data preparation/data processing cycle, there was insufficient time to recontact the respondents to correct the problems and re-enter the data into the file.

5.5.2 Financial Institution Records

As a part of the interview, respondents were asked about the amounts they had in savings and checking accounts at the time that they completed their financial aid application. If the respondents said that they didn't know, or if they said that they had more than $4,000 in checking and savings, the interviewer asked them to sign a release authorizing Westat to get account balances from their banks and savings and loan offices as of the date of their application. An authorization form was prepared for this purpose, and bound into both the student and the parent questionnaires (see Exhibit 5-6). A separate release was obtained for each account.

The releases were sent to Westat with the completed questionnaires and other documentation. The forms were logged in, checked for clarity and completeness, and sent to the appropriate financial institution with a cover letter explaining the study and asking for their help. Telephone follow-up was an important part of this particular data collection, with the institution frequently simply giving the information to the Westat telephone interviewer over the phone.

A total of 180 releases were sent to financial institutions. Usable responses were received for 135 respondents. As with the 4506 forms that were sent to the IRS, some of the release forms could not be honored by the financial institution. In these cases, the signature did not match the signature on the account, the account number was incorrect, or the financial institution had no record of the account.

5.5.3 Tax Assessment Records

As estimate of home value was asked in both the student and parent questionnaires for those who owned homes. A subsample of 25 percent of sampled institutions was selected, and all of the respondents from among those cases who identified themselves as homeowners were included in the

CASE ID # ______________

Authorization to Release Information

U.S. Department of Education
Title IV Quality Control Study - Stage II

TO: ______________________________
Name of Financial Institution

____
Branch of Financial Institution

____
Address

____

Name(s) of Account Holder(s)	Account Number

I hereby request that you complete and return, directly to Westat, Inc., the following information regarding the balances in my/our accounts.

Balance as of __________ : $ __________
(Date Application Signed)

A copy of this request is provided for your records and a return envelope, postage prepaid, is enclosed for your convenience.

Sincerely,

______________________________ ____________
Signature of Account Holder Date

IF JOINT ACCOUNT
MUST HAVE BOTH → ______________________________ ____________
SIGNATURES Signature of Account Holder Date

EXHIBIT 5-6. AUTHORIZATION TO RELEASE INFORMATION FROM FINANCIAL INSTITUTIONS

homeowners subsample. The tax assessors for the jurisdictions where the homes were located were contacted by mail to request the latest assessed value.

We mailed out requests for assessments for 232 properties. A considerable amount of research was required to identify the locations of some properties, and their appropriate assessment jurisdictions. Extensive telephone follow-up was required to obtain some assessments. Once the tax assessor was successfully contacted, the assessment information was frequently supplied over the telephone. Assessments were obtained for 156 properties.

The secondary data collection thus provided us with important additional information to confirm and complement the data obtained from the primary sources - students, parents, and institutions. These data were then coded and edited, providing a consistent format for merging the data from all sources into a single master file for analysis.

6

DATA PREPARATION AND PROCESSING

The preparation and processing of data collected in the field by both Advanced Technology and Westat required a number of steps and operations in order to produce a set of clean data tapes, ready for analysis. Advanced Technology assumed this responsibility for the institutional data (institutional interview data and Student Record Abstracts) while Westat was responsible for providing the clean data for the student and parent interviews and the secondary data (IRS forms, financial institution records, and tax assessor records). Advanced Technology performed the necessary merging of these data files to produce a complete master file for Stage Two.

6.1 DATA SECURITY

The success of the study depended on obtaining and verifying sensitive information about the personal and family finances of aid recipients and their parents. Therefore, guarding the privacy of the data acquired was an important element of the study.

To ensure that the data collected were not available to anyone besides authorized project and ED personnel, a set of standard confidentiality procedures were followed.

- All employees signed an assurance of confidentiality.

- Employees kept completely confidential the names of respondents, all information or opinions collected in the course of interviews, and any information about respondents learned incidentally.

- Unless specifically instructed otherwise, an employee or field worker, upon encountering a respondent or information pertaining to a respondent that he knew personally, immediately terminated the activity and contacted his supervisor for instructions.

- Survey data containing personal identifiers were kept in a locked container in a locked room when not being used each working day in routine survey activites. Reasonable caution was exercised in limiting access to survey data only to persons working on the project who had been instructed in the applicable confidentiality requirements for the project.

- The project director was responsible for ensuring that all personnel and contractors involved in handling survey data on the project were instructed in these procedures, signed the pledge, and complied with these procedures throughout the period of survey performance.

- The project director ensured that survey practices adhered to the provision of the U.S. Privacy Act of 1974 with regard to surveys of individuals for the Federal government.

- Selected coders and editors kept the completed questionnaires in the check-in area. Special handling instructions not only demanded enforcement of the confidentiality of received questionnaires, but assured strict control of questionnaire whereabouts.

Data collection procedures included the assignment of study identification numbers to all sampled institutions and students in order to ensure the confidentiality guaranteed by the Department of Education to study participants. Advanced Technology project staff assigned these numbers to the institutions as soon as the institutional sample was drawn. The field staff assigned identification numbers to the sampled students at the time of sampling. Institution and student names were not entered onto the automated files which were used for analysis and eventually delivered to the Department of Education.

Because of the extensive merging of different files required for the project, one individual identifier--Social Security number--had to be retained on individual records. However, name and address information was kept only on Westat's receipt control files. All other files resided at ED's contract data processing facility. Access to these files depended on having both the account number and a current password. Passwords were changed frequently--at least every 4 weeks--and their dissemination strictly limited to data processing staff. Analysts not directly involved in file revision or manipulation did not have the passwords.

All hard-copy files (original paper forms) are stored in a locked room for the duration of the study, and will be destroyed according to approved procedures after completion of the project and upon instructions of the government project officer. Remaining identifying information will be deleted from the computer files at the same time.

All employees of both Advanced Technology and Westat who had access to information about individual students or parents signed confidentiality pledges that they would not reveal any of the information they acquired or saw in their work to anyone not involved in the study. The training for both Advanced Technology field staff and Westat interviewers included a briefing on privacy requirements and research ethics. Both firms assigned to the study experienced researchers who were well aware of privacy requirements; most had worked with comparable data on previous studies. The few new employees were also briefed on privacy requirements. The confidentiality pledges are shown in Exhibits 6-1 and 6-2.

6.2 AUTOMATED RECEIPT CONTROL

We kept careful records of each individual data collection document received from the field. These records included the status of each document as it progressed through the various data preparation steps, including the date each step was begun and completed.

6.2.1 Institutional Data

For the Stage Two institutional data collection, we used an automated receipt control system, using LOTUS 1-2-3 database management and spreadsheet software. This enabled us to track the flow of the survey instruments from the time they were received from the field through the data editing cycles until we had complete, clean data files, as shown in Exhibit 6-3.

Our receipt control clerk examined the contents of each package for completeness, verified that each Student Record Abstract (SRA) was accompanied by a Student Data Form (SDF), and compared the information on each for correct study ID number and Social Security number. The Institutional Questionnaire (IQ) and SRA's were then assigned batch

ADVANCED TECHNOLOGY, INC.

EMPLOYEE OR CONTRACTOR'S ASSURANCE OF CONFIDENTIALITY OF SURVEY DATA

STATEMENT OF POLICY

Advanced Technology is firmly committed to the principle that the confidentiality of individual data obtained through Advanced Technology Surveys must be protected. This principle holds whether or not any specific guarantee of confidentiality was given at time of interview (or self-response), or whether or not there are specific contractual obligations to the client. When guarantees have been given or contractual obligations regarding confidentiality have been entered into, they may impose additional requirements which are to be adhered to strictly.

PROCEDURES FOR MAINTAINING CONFIDENTIALITY

1. All Advanced Technology employees and field workers shall sign this assurance of confidentiality. This assurance may be superseded by another assurance for a particular project.

2. Field workers shall keep completely confidential the names of respondents, all information or opinions collected in the course of interviews, and any information about respondents learned incidentally during field work. Field workers shall exercise reasonable caution to prevent access by others to survey data in their possession.

3. Unless specifically instructed otherwise for a particular project, an employee or field worker, upon encountering a respondent or information pertaining to a respondent that he/she knows personally, shall immediately terminate the activity and contact his/her supervisor for instructions.

4. Survey data containing personal identifiers in Advanced Technology offices shall be kept in a locked container or a locked room when not being used each working day in routine survey activities. Reasonable caution shall be exercised in limiting access to survey data to only those persons who are working on the specific project and who have been instructed in the applicable confidentiality requirements for that project

   Where survey data have been determined to be particularly sensitive by the Corporate Officer in charge of the project or the President of Advanced Technology, such survey data shall be kept in locked containers or in a locked room except when actually being used and attended by a staff member who has signed this pledge.

5. Ordinarily, serial numbers shall be assigned to respondents prior to creating a machine-processible record and identifiers such as name, address, and social security number shall not, ordinarily, be a part of the machine record. When identifiers are part of the machine data record, Advanced Technology's Manager of Data Processing shall be responsible for determining adequate confidentiality measures in consultation with the project director. When a separate file is set up containing identifiers or linkage information which could be used to identify data records, this separate file shall be kept locked up when not actually being used each day in routine survey activities.

6. When records with identifiers are to be transmitted to another party, such as for keypunching or key taping, the other party shall be informed of these procedures and shall sign an Assurance of Confidentiality form.

7. Each project director shall be responsible for ensuring that all personnel and contractors involved in handling survey data on a project are instructed in these procedures, have signed this pledge, and comply with these procedures throughout the period of survey performance. When there are specific contractual obligations to the client regarding confidentiality, the project director shall instruct field staff, clerical staff, consultants, and any other persons who work on the project in these additinal procedures. At the end of the period of survey performance, the project director shall arrange for proper storage or disposition of survey data including any particular contractual requirements for storage or disposition. When required to turn over survey data to our clients, we must provide proper safeguards to ensure confidentiality up to the time for delivery.

EXHIBIT 6-1 ADVANCED TECHNOLOGY'S CONFIDENTIALITY PLEDGE

8. Project directors shall ensure that survey practices adhere to the provisions of the U.S. Privacy Act of 1974 with regard to surveys of individuals for the Federal Government. Project directors must ensure that procedures are established in each survey to inform each respondent of the authority for the survey, the purpose of the survey, the voluntary nature of the survey (where applicable), and the effects on the respondents, if any, of not responding.

PLEDGE

I hereby certify that I have carefully read and will cooperate fully with the above procedures. I will keep completely confidential all information arising from surveys concerning individual respondents to which I gain access. I will not discuss, disclose, disseminate, or provide access to survey data and identifiers except as authorized by Advanced Technology. In addition, I will comply with any additional procedures established by Advanced Technology for a particular contract. I will devote my best efforts to ensure that there is compliance with the required procedures by personnel whom I supervise. I understand that violation of this pledge is sufficient grounds for disciplinary action, including dismissal. I also understand that violation of the privacy rights of individuals through such unauthorized discussion, disclosure, dissemination, or access may make me subject to criminal or civil penalties. I give my personal pledge that I shall abide by this assurance of confidentiality.

____

Signature

EXHIBIT 6-1 ADVANCED TECHNOLOGY'S CONFIDENTIALITY PLEDGE (CONTINUED)

ASSURANCE OF CONFIDENTIALITY OF SURVEY DATA

Statement of Policy

Westat is firmly committed to the principle that the confidentiality of individual data obtained through Westat surveys must be protected. This principle holds whether or not any specific guarantee of confidentiality was given at time of interview (or self-response), or whether or not there are specific contractual obligations to the client. When guarantees have been given or contractual obligations regarding confidentiality have been entered into, they may impose additional requirements which are to be adhered to strictly.

Procedures for Maintaining Confidentiality

1. All Westat employees and field workers shall sign this assurance of confidentiality. This assurance may be superseded by another assurance for a particular project.

2. Field workers shall keep completely confidential the names of respondents, all information or opinions collected in the course of interviews, and any information about respondents learned incidentally during field work. Field workers shall exercise reasonable caution to prevent access by others to survey data in their possession.

3. Unless specifically instructed otherwise for a particular project, an employee or field worker, upon encountering a respondent or information pertaining to a respondent that s/he knows personally, shall immediately terminate the activity and contact his/her supervisor for instructions.

Pledge of Confidentiality

I hereby certify that I have carefully read and will cooperate fully with the above procedures on confidentiality. I will keep completely confidential all information arising from surveys concerning individual respondents to which I gain access. I will not discuss, disclose, disseminate, or provide access to survey data and identifiers except as authorized by Westat for a particular contract. I will devote my best efforts to ensure that there is compliance with the required procedures by personnel whom I supervise. I understand that violation of this pledge is sufficient grounds for disciplinary action, including dismissal. I also understand that violation of the privacy rights of individuals through such unauthorized discussion, disclosure, dissemination, or access may make me subject to criminal or civil penalties. I give my personal pledge that I shall abide by this assurance of confidentiality.

SIGNATURE

I have read this memorandum. I agree to Westat's Pledge of Confidentiality.

Fieldworker Name: ____________________
(Print)

____
(Signature)

Social Security No.: ____________________

Address: ____________________

____

Date: ____________________

EXHIBIT 6-2 WESTAT'S CONFIDENTIALITY PLEDGE

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          APRIL 14,1986                                             RECEIPT  CONTROL  LOG

                                                    DC          SAA     IQ   BATCH    SAA    DIFF    REC   CODING    DE      REC    ED/UP
 ID#  SCHOOL NAME                           DATE   NAME         EXP    REC    NO      REC   EX/RC   DATE   DATE     DATE    DATE   CYCLE
--------------------------------------------|------|-----------|---------|-----|------|-------|------|-------|------|------|-------|-------|------------------------
03-12 GENERAL THEOLOGICAL SEMINARY  *       | 2/14|           |        1|    1|      |      1|     0| 2/18  12/20 |      |       |       |

01-07 SMITH COLLEGE  *                      | 2/17|           |        7|    1|      |      8|    -1| 2/20  12/21 |      |       |       |
02-04 YALE UNIVERSITY                       | 2/17|           |       15|    1|      |     11|     4| 2/27  13/4  |      |       |       |
03-04 CITY UNIV OF NEW YORK-CENTRAL         | 2/17|           |       47|    1|      |     31|    16| 2/27  13/5  |      |       |       |
05-13 CAMDEN COUNTY COLLEGE                 | 2/17|           |       10|    1|      |      6|     4| 2/20  12/21 |      |       |       |
07-05 ROANOKE MEM HOSP SCH OF NURSING  *    | 2/17|           |        1|    1|      |      2|    -1| 2/19  12/20 |      |       |       |
08-08 FRANCIS MARION COLLEGE                | 2/17|           |        9|    1|      |      9|     0| 2/20  12/24 |      |       |       |
09-05 INDIAN RIVER COMMUNITY COLLEGE        | 2/17|           |        2|    1|      |      2|     0| 2/20  12/21 |      |       |       |
10-11 BUTLER COUNTY COMMUNITY COLLEGE       | 2/17|           |        7|    1|      |      7|     0| 2/20  12/24 |      |       |       |
11-05 MERCY COLLEGE OF DETROIT              | 2/17|           |       12|    1|      |     12|     0| 2/20  12/24 |      |       |       |
11-07 HIGHLAND PARK COMMUNITY COLLEGE     * | 2/17|           |       11|    1|      |     11|     0| 2/24  12/25 |      |       |       |
12-01 INDIANA CENTRAL UNIVERSITY            | 2/17|           |        8|    1|      |      9|    -1| 2/21  12/24 |      |       |       |
13-07 DAVID LIPSCOMB COLLEGE                | 2/17|           |       11|    1|      |     12|    -1| 2/21  12/24 |      |       |       |
16-09 COLUMBIA COLLEGE  *                   | 2/17|           |        8|    1|      |      9|    -1| 2/20  12/21 |      |       |       |
18-13 MADISON AREA TECHNICAL COLLEGE        | 2/17|           |       16|    1|      |     10|     6| 2/24  12/25 |      |       |       |
19-08 KILGORE COLLEGE                       | 2/17|           |        6|    1|      |      5|     1| 2/20  12/21 |      |       |       |
21-06 MID PLAINS COMMUNITY COLLEGE          | 2/17|           |       11|    1|      |      9|     2| 2/24  12/25 |      |       |       |
22-12 UNIVERSITY OF COLORADO  *             | 2/17|           |        9|    1|      |     10|    -1| 2/21  12/24 |      |       |       |

15-10 MORAINE VALLEY COMMUNITY COLLEGE      | 2/18|           |        5|    1|      |      6|    -1| 2/24  12/25 |      |       |       |
20-03 PAN AMERICAN UNIVERSITY               | 2/18|           |       17|    1|      |     10|     7| 3/21  |     |      |       |       |
23-03 J M PERRY INSTITUTE                   | 2/18|           |       12|    1|      |      9|     3| 2/24  12/26 |      |       |       |
24-06 SAN FRANCISCO CMTY CLG CENTERS        | 2/18|           |       10|    1|      |      7|     3| 2/24  12/25 |      |       |       |
25-17 CYPRESS COLLEGE                       | 2/18|           |        5|    1|      |      3|     2| 2/26  12/26 |      |       |       |

01-12 HARVARD UNIVERSITY/RADCLIFFE COLLEGE  | 2/19|           |        7|    1|      |      7|     0| 2/24  12/26 |      |       |       |
05-12 P B METHOD OF HAIR DESIGN             | 2/19|           |        5|    1|      |      4|     1| 2/24  12/25 |      |       |       |
08-14 AMERICAN COLLEGE FOR APPLIED ARTS   * | 2/19|           |        1|    1|      |      1|     0| 2/24  12/25 |      |       |       |
09-07 UNIVERSITY OF FLORIDA                 | 2/19|           |       16|    1|      |     15|     1| 2/27  13/4  |      |       |       |
10-08 SHENANDOAH VALLEY SCHOOL OF BUSINESS  | 2/19|           |        5|    1|      |      7|    -2| 2/25  12/25 |      |       |       |
11-08 OAKLAND COMMUNITY COLLEGE           * | 2/19|           |        8|    1|      |      7|     1| 2/24  12/25 |      |       |       |
12-02 J. EVERETT LIGHT CAREER CENTER        | 2/19|           |        1|    1|      |      1|     0| 2/21  12/21 |      |       |       |
16-08 UNIVERSITY OF MISSOURI-COLUMBIA       | 2/19|           |       21|    1|      |     22|    -1| 2/24  12/25 |      |       |       |
17-03 DETROIT LAKES AREA VOC TECH INST      | 2/19|           |        8|    1|      |      9|    -1| 2/24  12/25 |      |       |       |
18-06 UNIVERSITY OF WISC-MADISON  *         | 2/19|           |       12|    1|      |     14|    -2| 2/27  13/5  |      |       |       |
19-04 NORTH TEXAS STATE UNIVERSITY          | 2/19|           |       25|    1|      |     23|     2| 2/26  12/26 |      |       |       |
22-09 MEMORIAL HOSP SCH OF RAD-TECH         | 2/19|           |        1|    1|      |      1|     0| 2/21  12/24 |      |       |       |
25-12 UNIVERSITY OF CALIFORNIA-LA*          | 2/19|           |       23|    1|      |     20|     3| 2/27  12/26 |      |       |       |
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EXHIBIT 6-3 RECEIPT CONTROL LOG

numbers and filed by batches. The batch system was primarily designed for key punching and editing. The manager of coding kept logbooks of all assigned batch numbers. The batching system was also incorporated into the automated receipt control system for tracking all documents. Thus, any given IQ or SRA could easily be located and both its date of receipt and progress through the coding and editing cycles could be monitored.

The Student Data Forms (SDF's) were used by Westat to create the initial data files for all sampled students. These files formed the basis upon which the Westat field staff could begin to locate the sampled students and their parents in order to schedule the interviews. Our coding staff checked all SDF's for completeness and correct Social Security numbers; any cases with missing or incomplete information were referred back to the data collectors for correction. The SDF's were photocopied, with the original going to Westat and the copy being retained and filed with the appropriate batch at Advanced Technology; SDF's were delivered to Westat twice a week.

6.2.2 Student and Parent Data

Receipt control, using computer-generated logs of all materials acquired relating to the student and parent sample, was the monitoring point for all student, parent, and secondary data collection materials sent to the field and returned to Westat. The master receipt control log listed the study identification number, name, address, and Social Security number of each student and his or her parent(s). The log was organized in numeric order according to study identification numbers. Space was provided for recording updated information on names and addresses, the date each questionnaire was received from the field, the completion status of the document, and the coding batch number assigned to the document. Within the record for each pair of student and parent(s), separate entries were made for the receipt of the student and parent questionnaires or other disposition of each member of the pair.

6.2.3 Secondary Data

A separate receipt control procedure was used for the secondary data. For two of the three secondary data sources (IRS returns and financial institution records), the receipt control procedures included first logging in the release form signed by the student or parent, checking the form for accuracy, and then sending the release form to the appropriate financial institution or IRS Service Center. Later, when the request was returned from either of these two sources, the returning documents were logged in, assigned to a coding batch, and sent for coding and editing. The collection of tax assessment data to verify home value did not require a release form to be signed by the respondent, which permitted the omission of the first receipt entry. Separate columns on the master log were also used to keep track of the secondary data for each student and parent in the sample.

6.3 DATA PREPARATION

After data collection forms were received at the Advanced Technology or Westat offices, they were thoroughly edited for completeness and consistency before being sent to keypunch for conversion to tape. Forms from the institutional visits--IQ's and SRA's--were coded and edited at Advanced Technology. Student and parent interview forms and secondary data collection forms--IRS data, financial institution data, and tax assessor data--were coded and edited at Westat.

6.3.1 Coding and Editing Staff

A well-qualified group of temporary coders/editors was selected for this project. Of the six individuals on the coding/editing staff, one had coding experience with the Stage One data collection, and two others also had similar experience outside the firm. Five of the six coder/editors were college graduates, and one had an advanced degree.

Coders were hired and trained at the beginning of the institutional data collection so that coding could take place simultaneously with the data collection, as forms were received from the field. The coding/editing supervisor briefed them on the project, the financial aid programs involved, and the field activities. The study objectives were emphasized in training, reinforcing the importance of this understanding as contributing to the coders' ability to accurately categorize and interpret survey responses. This also gave the coders the opportunity to recognize problems or errors and, with the coding supervisor, resolve many discrepancies. They reviewed the coding manual and the Question-by-Question Specifications before a discussion with the supervisor of coding procedures and conventions. The manager for analysis also briefed them on important points. The supervisor reviewed in detail the first instrument completed by each coder and discussed all errors with the group. She then reviewed 100 percent of the forms coded, until the error rate declined to less than 1 percent for each coder/editor. Thereafter, coded instruments were reviewed on a sample basis; review of problem cases also provided opportunities for review of coder performance.

6.3.2 Coding the Student Record Abstracts

The coding and editing supervisor developed a coding manual which included general coding procedures to be used across the entire instrument and special procedures for certain items. Coders also were provided copies of Question-by-Question Specifications, which contained additional information about each item. For most items, the codes were already included in the instrument. Some items had a restricted list of answers. For other items, the form had preprinted codes for the most likely answers, based on the responses to similar items in the earlier quality control studies. Project analysts developed lists of codes for other answers.

The coders/editors were directed to refer questionable items to the coding and editing supervisor. All items with recorded responses which had no code in either the form or the codebook were referred to the supervisor. Many items included provisions for explanation of institution actions, decisions, or documentation failures that might violate regulations and, therefore, result in errors; all of these cases were also referred to the coding supervisor. The responses were evaluated in all of these cases, often in consultation with other project analysts, to either resolve the problem or develop new, more appropriate codes.

In addition, the Institutional Questionnaire for each institution was coded at the same time as the SRA's. This proved to be an efficient use of the coding staff, particularly since it gave them a familiarity with institutions that was often helpful in coding the SRA's.

The largest class of items referred by the coder/editors was comprised of inconsistencies and missing information. In a small percentage of cases, these could not be resolved by the project staff. As discussed in Chapter 3, we were able to resolve these cases through contacts with the data collectors (during the field period) and the institution (after data collection). We received uniformly excellent cooperation from institutions in filling in missing data, resolving apparent contradictions, and obtaining additional explanations beyond the notes made by the original data collector.

To facilitate tracking the documents, all the instruments from one institution were kept together throughout the coding process. All were handled by the same coder/editor, and if one had to be referred to the supervisor, all were. Only when all an institution's forms were completed, with all problems resolved, were they assigned to a batch for data entry.

6.3.3 Coding the Institutional Questionnaire

The principal difference between coding the IQ's and the SRA's was the presence of open-ended questions on the IQ's. The preliminary coding scheme was based on that used for the Stage One instrument, and was supplemented by the creation of new codes and categories of codes for the Stage Two instrument. Since many items on the IQ were interrelated, the answer to one open-ended question often provided information about another. Coding the IQ's required a careful reading of each instrument, and a large number of codes to portray accurately the range of responses given.

All open-ended responses and all other responses about which the coders had questions were referred to the coding supervisor. Every unique response was given its own initial code. Later rounds of coding involving problem responses and some of the open-ended items were handled by project analysts. After all the instruments had been coded these codes were reviewed by project analysts and grouped into more comprehensive categories.

6.3.4 Preparation of Student and Parent Data

Westat prepared a coding manual incorporating both the student and parent questionnaires used in the Title IV Quality Control Project. The coding manual consisted of an introduction to the study procedures and purposes, a review of general data preparation procedures, and coding and editing specifications for both data sets. The manual was used in training the data preparation staff, and served as a complete, detailed reference for all project staff. It also provided documentation for the Title IV study data files.

Ten survey processing personnel were selected for training as coding and editing staff for the student and parent data portion of the Title IV study. Two were assigned to be group leaders, based on their skills and qualifications. The group leaders served as assistants to the coding supervisors and as coder verifiers.

Coders were assigned to work by coding batches and were required to complete the coding of one batch before beginning work on another. Errors found during verification by the supervisor were first noted in a coding error log, then discussed with the coders responsible for them. If persistent errors were discovered, a coder was asked to review previous batches and correct them. Problems found during coding, but not resolved in the coding specifications, were documented and referred to a supervisor to be resolved. Particularly difficult cases were referred to a weekly meeting of senior Advanced Technology and Westat project staff for resolution.

The Student and Parent Questionnaires included several open-ended questions. It was not possible prior to the beginning of coding to devise lists of all the possible responses to these items. Since this problem was expected, a controlled system for dealing with it was implemented at the beginning of coding. Responses which were not codable in the predetermined list of codes from the coding specifications were documented and referred to the supervisors who constructed codes for the new items. New codes were published each morning on a coding change sheet. Coders were responsible for keeping their manuals up to date and were required to record each issue of the coding changes in a log.

6.3.5 Coding the Secondary Data

The same procedures that were used to code the student and parent data sets were also used for the IRS returns, the financial institution records, and the tax assessment records. A separate manual was produced for each.

Occasional problems with illegible figures arose in the coding of photocopies of IRS tax forms. It was sometimes necessary in these situations to code illegible data elements as missing values. In addition, some taxpayers do not completely fill out Form 1040A when filing, exercising their option to have the IRS calculate their taxes. These 1040A's are blank below line 4. Westat coders were trained to fill in the missing items on these blank forms using a 1984 tax table.

6.4 DATA ENTRY

Once all the data collection instruments were coded and edited, the coded data were entered into an automated filing system, resulting in a set of data tapes that included all data from all sources. This was the first step in the creation of the master file that would be used for our analyses.

6.4.1 Institutional Data

Key entry of Advanced Technology's questionnaire data, the SRA and the IQ, was performed by a local data entry vendor. To ensure the safety and confidentiality of the data, the vendor's in-house courier transported all documents and keyed data tapes to and from Advanced Technology.

The manager of data processing thoroughly reviewed the questionnaires with the data entry supervisor before any data were keyed. During this meeting, he clarified questions regarding the layout and design of the questionnaires, the interpretation of data fields, and notation used by coders. He also provided a detailed set of specifications for the physical layouts of the data tapes the vendor would be creating (i.e., record length, blocking information, labeling, and tape density).

All data were keyed and then 100 percent key-verified. This process required the data to first be entered by one operator and then keyed again by a different operator. Any discrepancies between the two were noted on a computer screen and then resolved. To assure further the accuracy of the keyed data, we performed an in-house review of selected cases, checking the actual documents against the keyed data file. The results of this review showed the data entry to be over 99.5 percent accurate.

6.4.2 Student, Parent, and Secondary Data

Data entry was performed on all student, parent, and secondary data instruments by Westat Data Entry Services (WDES), a support group located in Westat's Rockville office. The system used is a Key-Edit Model 2022 disk data entry system.

To ensure accuracy, all keypunching of data instruments for the student and parent survey and the secondary data forms were verified by a double entry procedure. With this method, the total data entry error rate did not exceed 0.5 percent of the total number of strokes keyed.

Each data set was keyed to disk, then transmitted to tape, so that the machine edit procedures could be carried out. The final steps in creating the clean data file involved first producing frequency distributions of all variables so that final edit checks could be conducted, then generating the deliverable tapes.

6.5 COMPUTER EDITING

The next step in creating a clean analysis file involved subjecting the keypunched data to an automated editing process. These edits consisted primarily of range checks to ensure that the values of all variables were within the maximum possible or likely ranges, logic checks to determine whether there were any unreasonable relationshsips between variables (such as people recorded as not having filed a Federal income tax return, but having paid income taxes), and checks that skip patterns within the instruments had been followed properly.

6.5.1 Institutional Data

Computer editing of data from the SRA and IQ consisted of checking the coded data for range and logic errors. We checked each distinct data field to make sure that only valid codes or acceptable values were present. Logic checks for both the SRA and the IQ were developed by the manager of data processing and reviewed by another project analyst. One set of logic checks was developed for each questionnaire to check for correctness and to determine whether data collectors and coders had followed the skip patterns correctly. A second set of logic tests was developed to test the internal consistency of the data on each questionnaire. Responses that seemed contradictory with other information on the questionnaire were flagged in the logic check section and reproduced in the edit report.

Final range and logic tests were then translated into SAS code and incorporated into edit programs. We developed two programs, one for the SRA and another for the IQ. After development and testing of these programs, an initial run was made against the raw data tapes. At the completion of each run of the edit program, an edit report was produced. Each edit report included counts of the number of cases edited and the number of cases with detected errors. Any case identified as having either range or logic errors was reproduced in the edit report.

All edit reports were passed on to the editing staff for error resolution, through comparison with the original questionnaire. All errors not easily resolved by the editors were referred to the supervisor for review. File update transactions which would rectify the items in error were prepared by the data editors and entered into a SUPERWYLBUR transaction file. The transaction file was first processed through an on-line macroprogram which checked the keyed transactions for syntax problems. If no syntax problems were discovered in the transaction file, the macroprogram called an update program which posted each item in the transaction file against the master record. The edit-update cycle also included a final quality control check on the data entry process, to assure an accuracy rate of 99.5 percent. This process of editing and updating data was repeated until edit reports showed no unexplained or unacceptable errors and a batch could be considered "clean." The edit-update cycle is shown in Exhibit 6-4.

6.5.2 Student and Parent and IRS Data

The student, parent, and IRS files were machine edited with special-purpose editing programs generated through Westat's Codebook and Edit (COED) system. Specifications for the edits were produced by Westat and reviewed and approved by Advanced Technology. Edits concentrated on:

- Valid data in numeric fields
- Valid range checks
- Correctness of skip patterns
- Consistency of response patterns
- Special edit logic as required.

These edits were coded, reviewed, and converted into edit programs for use by the Westat project staff. The coding supervisor was also responsible for machine editing and was familiar with all aspects of

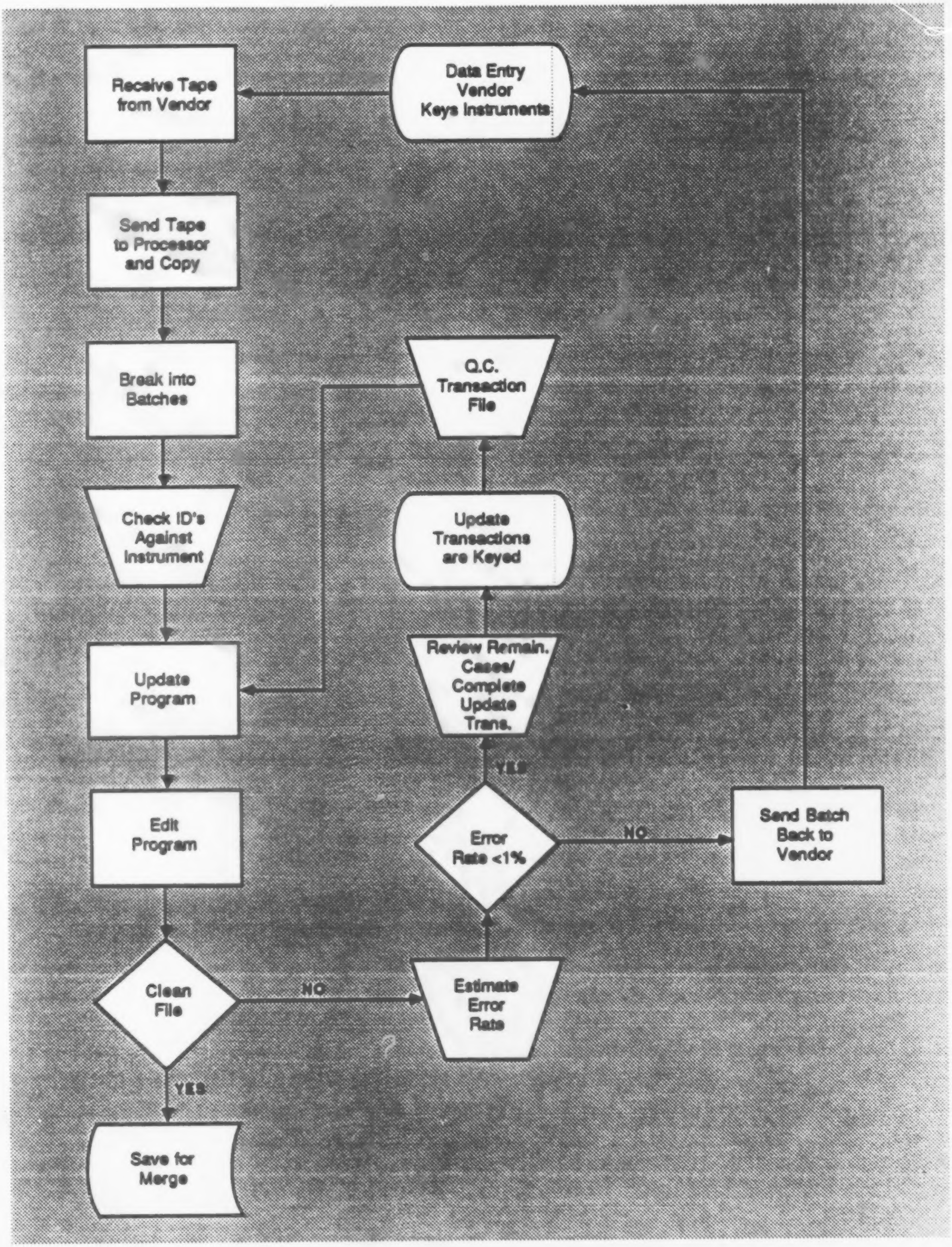
Receive Tape from Vendor
Data Entry Vendor Keys Instruments
Send Tape to Processor and Copy
Break into Batches
Q.C. Transaction File
Check ID's Against Instrument
Update Transactions are Keyed
Update Program
Review Remain. Cases/ Complete Update Trans.
YES
Edit Program
Error Rate <1%
NO
Send Batch Back to Vendor
Clean File
NO
Estimate Error Rate
YES
Save for Merge

EXHIBIT 6-4 THE EDIT/UPDATE CYCLE FOR INSTITUTIONAL DATA

the instruments and the edit facility. The machine editing staff were trained coders for the Title IV project, so that they were already familiar with the forms.

Edit runs were initiated using a programmable command procedure designed for this project. Machine editors received listings with all errors clearly marked and resolved errors according to instructions. Initial edits were completely reviewed by the edit supervisor to ensure that the machine editor's work was completely correct. Difficult cases were referred to the coding supervisor or resolved in a weekly meeting of senior project staff.

File updating instructions were written on transcription sheets by the editors, checked by the supervisor, and then sent to the data entry center for keying and transmittal to the main computer. Updates were made to the files by a special-purpose update program. The jobs were run in a manner similar to the initial edit runs. After each update run was complete, another edit cycle was initiated automatically to verify that corrections had been made and to check for new errors. The update cycle was repeated until each batch of data in the data base was clean.

6.5.3 Secondary Data

Different procedures for secondary data were adopted due to the small number of items on the forms and the small number of forms received. These data include the financial institution records and the tax assessment records. These files contained about six fields and only about 100 records each so that a manual edit was more efficient than the construction of an automated edit program. Experienced coders reviewed the data for numeric and logic checks both before and after key entry. This approach actually provided for a more individualized review than would be possible on the larger forms.

As a final quality control check, marginal distributions of all variables on files were produced and reviewed prior to delivery to Advanced Technology. No unanticipated problems occurred during this phase.

6.6 MERGING OF DATA SETS

The error calculations for Stage Two required data from all of the files created through the data preparation procedures. Therefore, we had to create a merged file containing in a single record all the variables from the seven different files for each student. Each file consisted of the data from a single source:

- Student Questionnaire (SQ)
- Parent Questionnaire (PQ)
- Income tax returns from IRS
- Financial institution records (FIR)
- Tax assessment records (TAR)
- Pell Grant processor Computed Applicant Record (CAR) file
- Student Record Abstract (SRA).

The first five of these files were created by Westat. The data from the CAR file were extracted from a tape supplied by the Pell Grant processor by matching the list of Social Security numbers of sampled students against the Social Security numbers on the file. The SRA file was created by Advanced Technology. The result of the merge process was a single analysis file of student data, as shown in Exhibit 6-5. The master analysis file included the student data file and a separate analysis file of institutional data, obtained from the Institutional Questionnaire and containing no individual-level data.

6.6.1 Merge Programs

After each of the seven primary student data sets had gone through the entire edit and update process, we created an analysis file containing data elements from each data set. This merged file was developed through a series of data merges using the SAS file-combining capabilities (see Exhibit 6-5). The process was divided into four basic steps. First, four of the files produced by Westat (PQ, SQ, FIR and TAR) were combined into a single file. Second, the SRA and IQ data were merged and then combined with the CAR data creating a single file of Advanced Technology data. Third, the combined Westat file was merged with the Advanced Technology data into a single file. Finally, IRS data was merged with the combined Westat/Advanced Technology file creating a single analysis file.

We also developed several smaller programs to make final changes in the structure and makeup of the primary data sets immediately before merging that would facilitate the merge process. These final preparations included reformatting the IRS file, sorting the files, and transferring files from tape to disk storage.

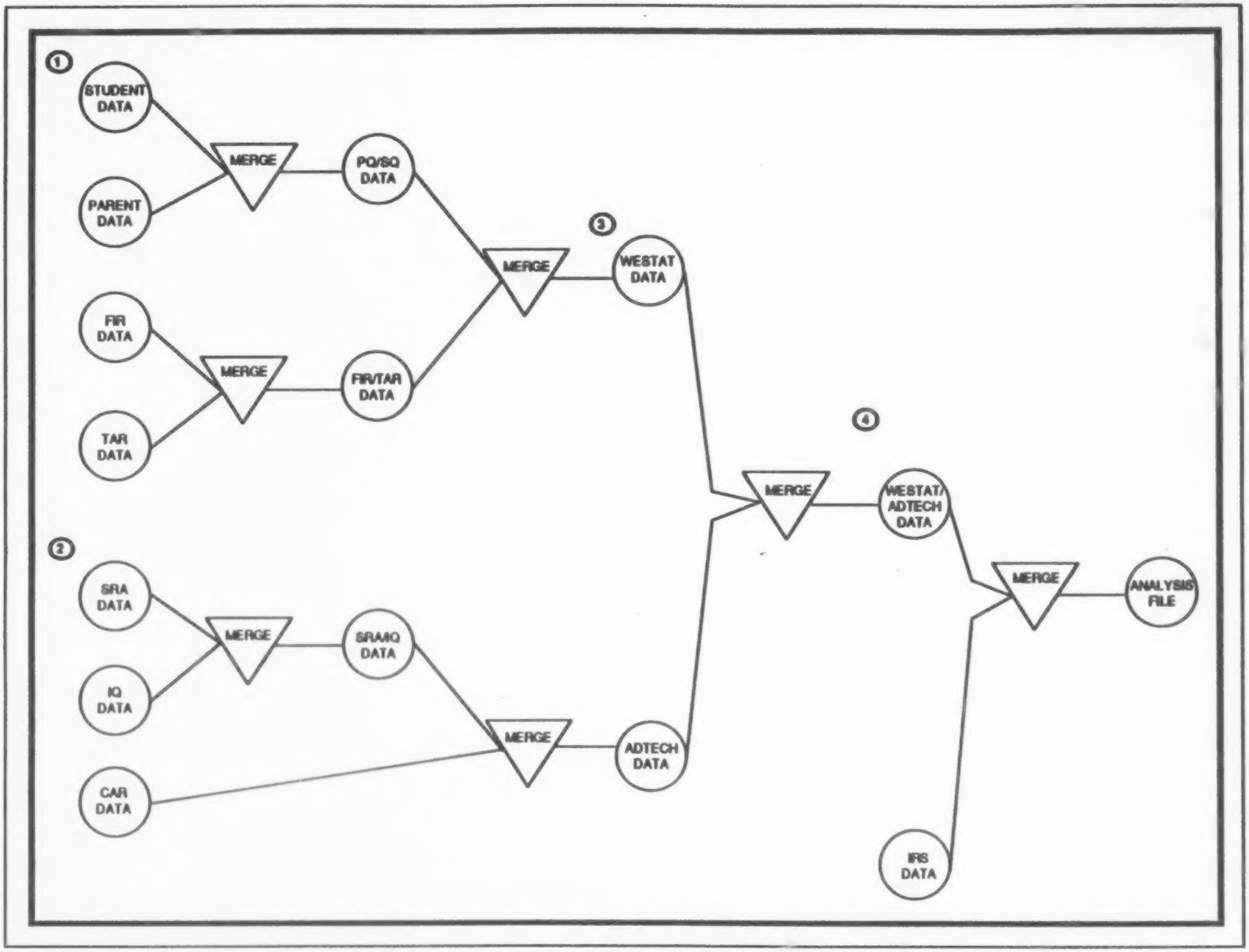
①
STUDENT DATA
PARENT DATA
MERGE
PQ/SQ DATA
FIR DATA
TAR DATA
MERGE
FIR/TAR DATA
MERGE
③
WESTAT DATA
②
SRA DATA
IQ DATA
MERGE
SRA/IQ DATA
CAR DATA
MERGE
ADTECH DATA
MERGE
④
WESTAT/ ADTECH DATA
IRS DATA
MERGE
ANALYSIS FILE

EXHIBIT 6-5 MERGING OF STUDENT DATA

6.6.2 Selection of Best Values

The term, "best values," was introduced in the Pell Grant Quality Control Study to represent a specific aspect in the measurement of error. Error is based on the difference between reported values - those reported on the application or adjusted by the institution (for student values) and those used by the institution (for institution values) - and "best," or verified, values from other data sources obtained during data collection. The determination of best values involved a complex comparison of data items that considered not only the source of a value for a given item (that is, where in the data collection it was obtained), but also the strength, or priority, of the documentation for that value. For example, for best institution values, we specifically tailored some questions in the Student Record Abstract to allow us to determine best values while other questions simply recorded the values used.

An example of how we used the SRA to determine institutional best values is in cost of attendance for the Campus-Based programs. After noting the figure used by the school, the data collector referred to the school's cost of attendance policy. If the amount was correct, the data collector indicated as much. If the amount differed from what the policy said it should have been, but reflected an individual adjustment, as allowed by program regulations, the data collector noted it, as well as the information which documented the adjustment, as required by the regulations. If the amount used for cost of attendence was not correct according to policy, and the data collector found no documentation of an adjustment, then the response to this item was "not correct." The data collector then attempted to resolve the difference by asking the financial aid administrator to explain the circumstances of the case, again noting either the explanation or the lack of resolution, and recorded what the cost should have been, according to the school's policy.

For student application items, we developed priorities to consistently select the best value from the several competing data sources (Student Questionnaire, Parent Questionnaire, Student Record Abstract documentation, and three external sources of documentation, including the IRS). Although we developed best value priorities expressly for each application item, general guidelines were followed for checking the supporting documentation for any values reported. The general guidelines for best value selection were:

- The strongest priority was assigned to values with external sources of documentation:
    - For items which could be documented by tax returns, this was always an IRS-provided copy.
    - For savings and home value, these were financial institution records and tax assessor records, respectively.
- If external documentation was not available, or possible, selected documentation from the PQ or SQ was strongest, followed by similar documentation from the SRA.
- Distinctions were made concerning the strength of documentation within a data source. For example, certified tax returns shown by the parent to the interviewer were stronger than copies or worksheets.
- Within the same data source, documentation that was considered more reliable or more likely to be complete was assigned a stronger priority. Thus, a letter from a relevant agency about a parent's other income received was assigned a stronger priority than that parent's records.

In the absence of documentation, we accepted application values as best values, except in two situations. If the best dependency status differed from the reported dependency status, the application values were irrelevant because they were for the wrong party (usually the student, when parent data was needed). In this case, undocumented values were accepted as best values if no other data were available, since they were parallel to the undocumented values reported on an application.

When the application requested only composite data, as it did for other nontaxable income and benefits, each of the parts could be documented but application data were not available for the individual components. Thus, if no other data were available for any one item, undocumented values were accepted in order to avoid ignoring a source of nontaxable income. The total of all the components was then compared to the application for final best value selection and used when it was greater than the application total.

If documentation was not requested (as for some of the dependency status questions in the student and parent questionnaire), agreement between undocumented values from two or more sources was considered suitable for a strong priority.

An example of this system of priorities would be that, for a student's adjusted gross income (AGI), a copy of a student's tax return, collected from the IRS, would be assigned a higher priority than a copy of the same document seen in the student's financial aid file. However, the copy of the tax return seen in the student's file would be stronger documentation of AGI than a worksheet shown by the student to a Westat interviewer. The best value priorities for this item are shown in Exhibit 6-6.

ADJUSTED GROSS INCOME

CONDITION		PRIORITY	SOURCE	QUESTION NUMBER	CODE	LABEL
If SFIL = filed or missing	If 1. SMAR = not married and SFIL = R only (not joint) If 2. SMAR = married and SFIL = joint or SFIL = married separate and both rec'd	1.	IRS/SQ	L.32-SQ38 L.14-SQ30 L.3-SQ30	- - -	1040 minus FAID 1040A minus FAID 1040EZ minus FAID
		2.	SQ	37-38	01 02 03	1040 L.32 cert. minus FAID 1040A L.14 cert. minus FAID 1040EZ L.3 cert. minus FAID
		3.	SRA	104-SQ38	01 02 03 08,10 07	1040 L.32 cert. minus FAID 1040A L.14 cert. minus FAID 1040EZ L.3 cert. minus FAID IRS Transcript minus FAID 1040X L.10 minus FAID
		4.	SQ	37-38	04 05 06 11 13	1040 L.32 minus FAID 1040A L.14 minus FAID 1040EZ L.3 minus FAID 1040 L.33 minus FAID 1040X minus FAID
		5.	SRA	104-SQ38	04,22 05 06 17 16	1040 L.32 minus FAID 1040A L.14 minus FAID 1040EZ L.3 minus FAID Puerto Rican tax return minus FAID Notice of tax correction, minus FAID
		6.	SQ	37-38	10	State tax return minus FAID
		7.	SRA	104-SQ38	18,23	State tax return minus FAID
		8.	SQ	37-38	 12	IRS receipt/Treasury Dept. Statement minus FAID Statement from Accountant minus FAID
		9.	SRA	104	24 13	Special adjustment for separate parents Statement from social agency
		APP Default	SQ	37	 07 14 86 97	Application W-2 W-2 Form and Bank Stmt. Showing Interest Phone Retrieval No Documentation
		Unacceptable	SQ	37	98 99	Don't know Not ascertained
			SRA	104	09 99 19	1040 Schedule W Not Ascertained IRS Form 4506

EXHIBIT 6-6
EXAMPLE OF BEST VALUE PRIORITIES

Specifications from the best value priorities were translated into SAS code for the computation of best values. Four separate programs were required, the first of which was the determination of a student's best dependency status. Cases for which dependency status was determined as independent were run through a program which computed best values for variables unique to independent students. Cases determined to be dependent students were run through the remaining two programs, which computed best values for variables unique to parents of dependent students, and best values unique to dependent students, respectively. Exhibit 6-7 shows the process of selecting best values through the four best value programs, and the resulting file of best values for all cases.

We selected 45 cases at random for hand checking. For each variable the computed best value from all possible sources was printed. These values were compared with values on the original questionnaires. Best values were calculated by hand, following the best value priorities. These hand-calculated best values were compared to computed best values. The best value programs were modified and the output rechecked until best values were correct for the sampled cases. Outputs from the four best value programs were then merged together. The resulting data file was run through an error calculation program, and 75 high-error cases were hand checked. The best value programs were modified again and the output rechecked until no error was found in the selection of best values for the high-error cases, and the complete data file could be rerun through the best values programs. The final merged best value file was used in the analysis of award errors.

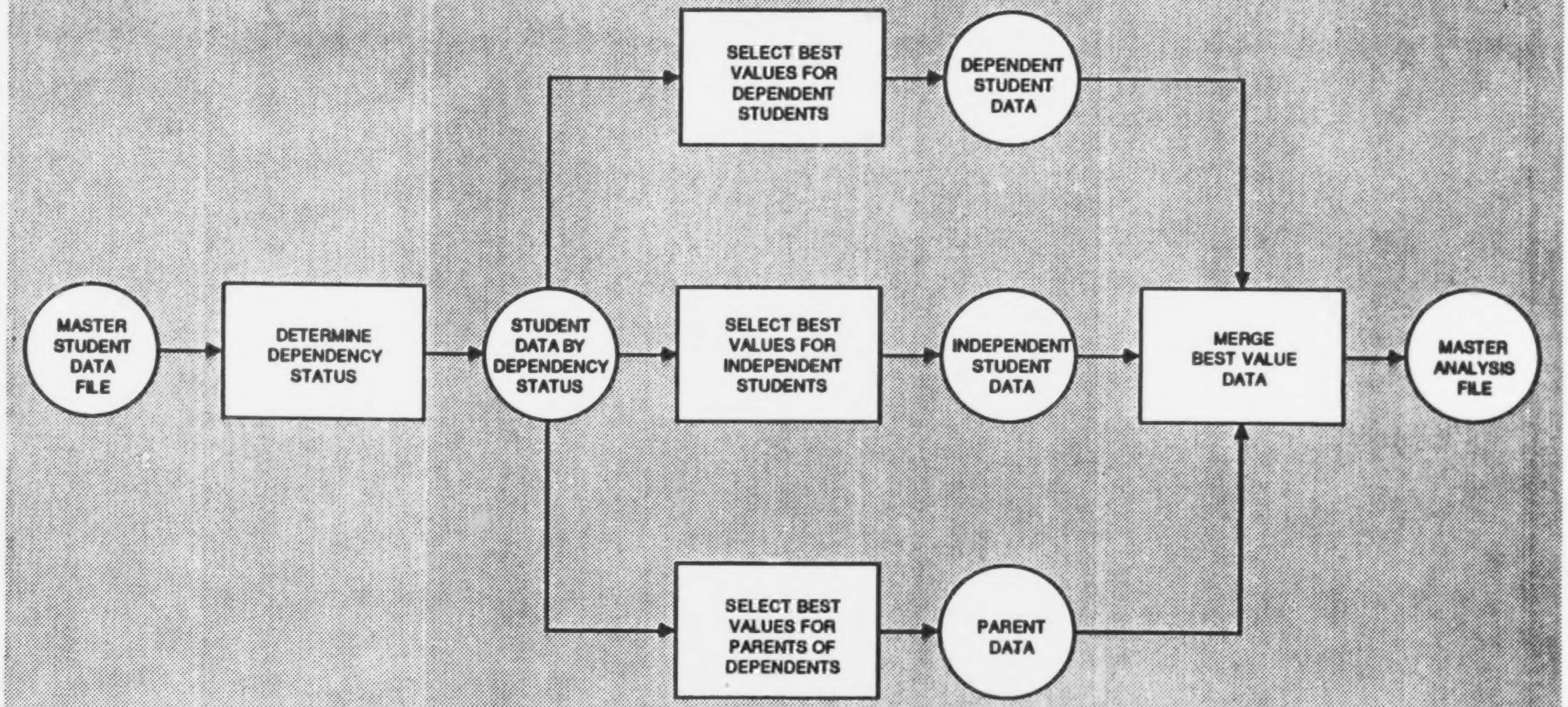
MASTER STUDENT DATA FILE
DETERMINE DEPENDENCY STATUS
STUDENT DATA BY DEPENDENCY STATUS
SELECT BEST VALUES FOR DEPENDENT STUDENTS
SELECT BEST VALUES FOR INDEPENDENT STUDENTS
SELECT BEST VALUES FOR PARENTS OF DEPENDENTS
DEPENDENT STUDENT DATA
INDEPENDENT STUDENT DATA
PARENT DATA
MERGE BEST VALUE DATA
MASTER ANALYSIS FILE

EXHIBIT 6-7 PROCEDURES FOR BEST VALUES SELECTION

6.7 ANALYSIS PROGRAMS

The analysis for Stage Two involved measuring errors through a comparison of the values used by institutions in calculating need and awards, and best values, as described above. The programs used to conduct these analyses were carefully tested to ensure that the algorithms were up-to-date and accurate. This required a careful review of the need analysis formulae, including the Pell processor, and a review of currently applicable regulations.

An exception to this review and revisions process occurred when regulations affecting these calculations were issued and became effective during the award year under study, but after the end of our data collection. We were therefore unable to collect the data that would allow us to accommodate the change in our algorithm.

An example of this occurance was the publication of changes required by the Consolidated Budget Reconciliation Act of 1985 (Public Law 99.272). A new regulation resulting from this Act affected the calculation of a student's expected family contribution for the Pell Grant and Guaranteed Student Loan programs, that "income realized from the proceeds of a sale of farm or business assets if the sale results from a voluntary or involuntary foreclosure, forefeiture, or bankruptcy" should be excluded from family income (34 CFR 682.301 and 34 CFR 690.33 and 690.43). This regulation, while applicable to the 1985-1986 award year, was issued at the end of the award year, and 2 months after the end of our institutional data collection. We were therefore unable to ask in our instruments if any sampled students may have been affected by this change, nor did we revise our analysis programs. However, we estimated that this new regulation would have affected less than one tenth of 1 percent of Pell applicants, making it highly unlikely that such cases would have been selected in our sample.

6.8 QUALITY CONTROL OF COMPUTER PROGRAMS

All computer programs used in this project were thoroughly reviewed and tested before use, as shown in Exhibit 6-8. The tests were run on a sample of real data so that we could be sure that the programs would treat correctly the actual problems found in the student population from which we had drawn our sample.

6.8.1 Advanced Technology Programs

The overriding concern of any data processing effort must be assuring the quality of its software. Having processed data in a similar format during the preceding quality control studies, our data processing staff was well aware of the types of problems that we would face in processing data for the current study. As a result, the primary quality control concern for Stage Two was focused on areas that had previously proven to be highly prone to software failures. Some of the programs that had been produced for the earlier studies were adequate for use with only minor modifications.

Specifically, the edit programs that had been developed for the earlier studies proved to be readily adaptable to the needs of Stage Two. The overall structure of these programs was maintained and the

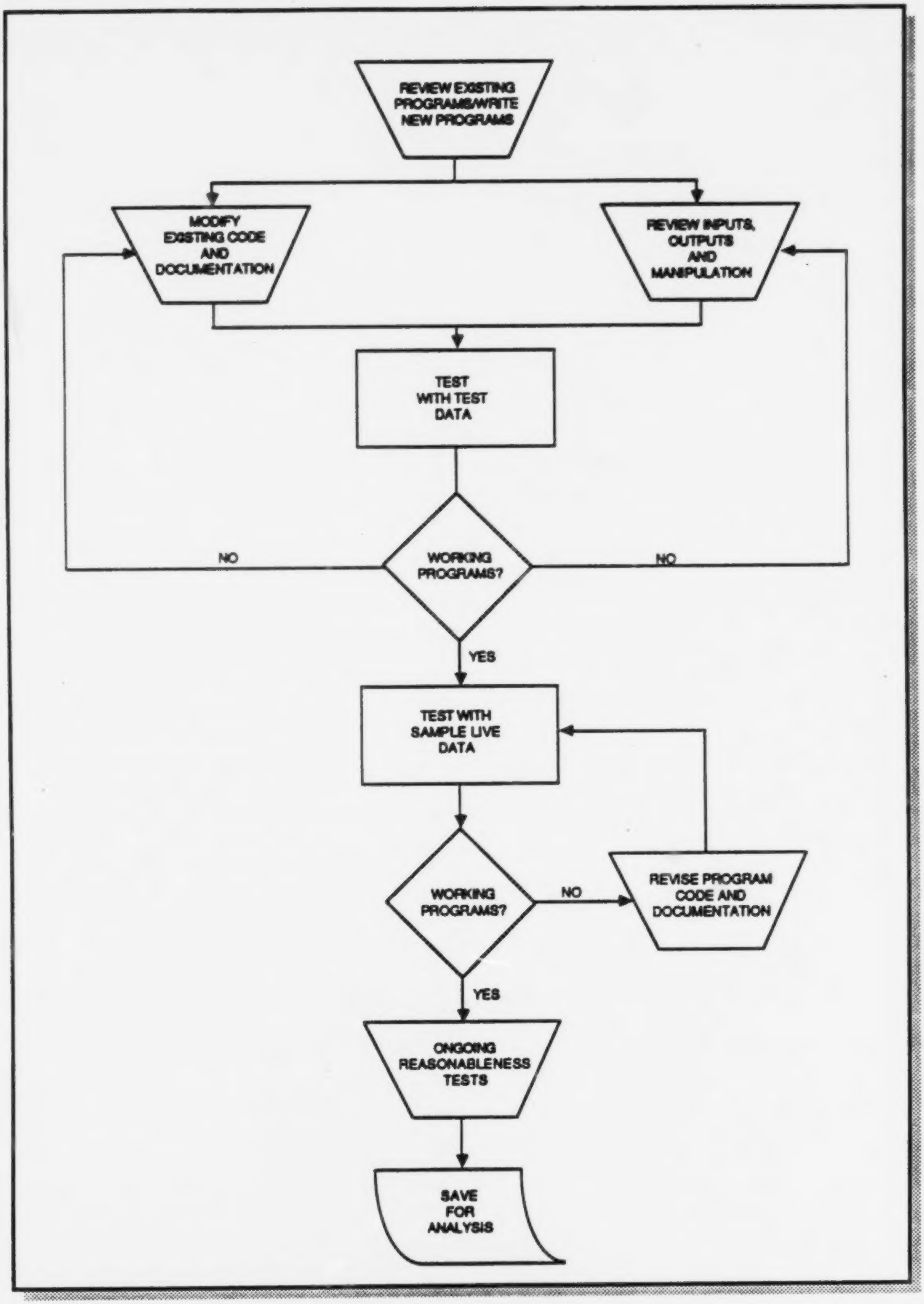
REVIEW EXISTING PROGRAMS/WRITE NEW PROGRAMS
MODIFY EXISTING CODE AND DOCUMENTATION
REVIEW INPUTS, OUTPUTS AND MANIPULATION
TEST WITH TEST DATA
WORKING PROGRAMS?
NO
NO
YES
TEST WITH SAMPLE LIVE DATA
WORKING PROGRAMS?
NO
REVISE PROGRAM CODE AND DOCUMENTATION
YES
ONGOING REASONABLENESS TESTS
SAVE FOR ANALYSIS

EXHIBIT 6-8
QUALITY CONTROL OF COMPUTER PROGRAMS

range, logic, and data definition sections were updated to accommodate the current data. The output sections were upgraded to provide more informative and more understandable edit reports, internal documentation was expanded, and the syntax of the code was modified to improve readability.

As in the past, we tested the programs thoroughly by first applying them to a batch of hand-calculated test data. We compared the resulting output to hand-calculated results to verify accuracy. The second step in testing the programs was to run them on a 10 percent sample of "live" data. This test performed an additional check on the program to see that plausible results were obtained (i.e., whether the resulting analysis fell within pre-established acceptable limits). In each of these test steps, if errors were detected, they were corrected promptly and re-tested until the program was judged acceptable.

Some quality control checks were performed on ad hoc analyses. Such analyses usually required quick response and received a technical review by the manager of data processing and the project manager. These reviews were less formal than the reviews performed on the edit or merge programs, but no less thorough. They examined required inputs, desired outputs, and necessary manipulation of data. Before implementation, all ad hoc programs were also put through the same testing procedures used on production programs.

All SAS procedures were also documented internally and externally throughout the process. External documentation consisted of a detailed description of the merge cycle to be recorded on a form, one copy being bound with the computer output, the other copy in a looseleaf notebook. This documentation described in detail any problems encountered and provided the foundation of the final report detailing the merge process. The internal documentation consisted of a brief description of the inputs, outputs, and process of each SAS program and appeared at the top of the source listing as a section of comments.

6.8.2 Westat Programs

Edit and merge programs were available to Westat from Stage One. Because the data from instruments for the student and parent interviews had needed only minor revisions, Westat did not have to write new programs, and no substantive new coding was done for the spring 1986 survey. These programs also had passed the most important quality control criterion, successful operation with a wide variety of input data.

Westat had a series of standard operating procedures for program creation, which had been followed in writing the original programs and were applied to the 1986 updates. These steps included the following:

- Construction of a working flowchart with each program module
- Addition of record counts and file names as each file was created
- Review of each program by a senior systems analyst
- Binding of program listings with a final flowchart.

These steps provided an audit trail for all file creation activities.

The quality of the editing programs was assured by use of the COED editing system. This system automatically generated computer code from a file of machine-readable edit specifications, eliminating the possibility of programmer error. The coding supervisor specified the edits on the basis of experience with the earlier quality control surveys. Senior project staff also reviewed the specifications and forwarded them to Advanced Technology for final approval. The program generator edited the specifications to ensure that no incorrect code was generated.

7

EFFECTS OF NONRESPONSE AND SAMPLING ERROR

This study is based on a sample of recipients of Pell awards, Campus-Based aid or GSL certifications; therefore the values reported can only be estimates of the values that would have been obtained by successfully collecting information about every recipient. Moreover, even within the small sample we selected, we were not able to obtain universal cooperation; best values, then, were unobtainable for some sampled students or their parents. In this chapter we analyze the effects of this nonresponse and estimate the probable errors in our estimates due to sampling.

7.1 EFFECTS OF NONRESPONSE

We can analyze the effects of nonresponse in two ways. First, we can compare the average respondent to the average sampled nonrespondent for characteristics for which we have information on both groups. Second, we can determine what our estimates of program-wide parameters would have been if the average nonrespondent had been similar to a small group of respondents with atypical characteristics.

7.1.1 Comparison of Respondents and Nonrespondents

We examined respondents and nonrespondents for differences on four key items which have major effects on need and payment error:

- Dependency status (all Title IV recipients)
- Student Aid Index (Pell Recipients) or Expected Family Contribution (Campus-Based recipients)
- Need (Campus-Based recipients) or amount of GSL eligibility (GSL certifications)
- Awards (Pell and Campus-Based recipients)

All comparisons are based on reported data recorded on SRA's. We usually had no documentation for nonrespondents and, by definition, no strong interview data. Therefore, all comparisons are of reported rather than best values. We report separate comparisons of SAI, EFC, need or GSL eligibility, and Pell or Campus-Based disbursements for independent and dependent students because the financial situations of the two groups are so different.

As shown in Table 7-1, response rates did not differ significantly by dependency status for Pell or GSL recipients. Among Campus-Based recipients, dependent students had a higher rate of nonresponse but the difference is only marginally significant.

Table 7-2 summarizes average SAI for respondents and nonrespondents by dependency status. Among independent Pell recipients, respondents had a higher mean SAI than nonrespondents, but the difference is not significant. Among dependent Pell recipients, respondents had a significantly higher mean SAI than nonrespondents.

TABLE 7-1. DEPENDENCY STATUS OF RESPONDENTS AND NONRESPONDENTS

Pell Recipients

Reported Dependency Status	Respondents		Nonrespondents		Total	
	Number	Percent	Number	Percent	Number	Percent
Independent	851	87.0	127	13.0	978	100.0
Dependent	1118	87.3	163	12.7	1281	100.0
Total	1969	87.2	290	12.8	2259	100.0

$X^2 = 0.034$, df = 1, p = 0.85

Campus-Based Recipients

Reported Dependency Status	Respondents		Nonrespondents		Total	
	Number	Percent	Number	Percent	Number	Percent
Independent	571	85.6	96	14.4	667	100.0
Dependent	1004	82.2	218	17.8	1222	100.0
Total	1575	83.4	314	16.6	1889	100.0

$X^2 = 3.699$, df = 1, p = 0.055

GSL Certifications

Reported Dependency Status	Respondents		Nonrespondents		Total	
	Number	Percent	Number	Percent	Number	Percent
Independent	555	82.8	115	17.2	670	100.0
Dependent	812	80.8	193	19.2	1005	100.0
Total	1367	81.6	308	18.4	1675	100.0

$X^2 = 1.115$, df = 1, p = 0.29

Table 7-2. MEAN STUDENT AID INDEX OF RESPONDENTS AND NONRESPONDENTS BY DEPENDENCY STATUS FOR PELL RECIPIENTS

Reported Dependency Status	Mean SAI Respondents	Mean SAI Nonrespondents	Mean SAI All Cases	t	p
Independent	249.6	227.2	246.7	-0.4792	0.63
Dependent*	599.5	395.3	573.7	-4.5926	0.0001
All cases*	448.5	321.3	432.2	-3.8707	0.0001

TABLE 7-3. MEAN EXPECTED FAMILY CONTRIBUTION OF RESPONDENTS AND NONRESPONDENTS BY DEPENDENCY STATUS FOR CAMPUS-BASED RECIPIENTS

Reported Dependency Status	Mean EFC Respondents	Mean EFC Nonrespondents	Mean EFC All Cases	t	p
Independent	2845.3	2911.9	2854.9	0.2276	0.82
Dependent*	1658.5	2683.0	1839.4	6.0536	0.0001
All cases*	2089.0	2753.7	2198.7	4.2850	0.0001

TABLE 7-4. MEAN NEED FOR RESPONDENTS AND NONRESPONDENTS BY DEPENDENCY STATUS FOR CAMPUS-BASED RECIPIENTS

Reported Dependency Status	Mean Need Respondents	Mean Need Nonrespondents	Mean Need All Cases	t	p
Independent*	6303.3	7295.9	6445.9	1.9782	0.0503
Dependent	5683.2	5722.1	5690.1	0.1611	0.87
All cases*	5908.6	6206.3	5957.8	1.2782	0.2019

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* Variances are significantly different

Table 7-3 summarizes mean EFC for respondents and nonrespondents by dependency status. Among independent C-B recipients respondents had a smaller mean EFC than nonrespondents but the difference is not significant. Among dependent C-B recipients the mean EFC is significantly higher for nonrespondents than for respondents.

Table 7-4 presents mean Campus-Based need for respondents and nonrespondents by dependency status. Among independent C-B recipients, average need is higher for nonrespondents than for respondents. Nonrespondents also have a higher average need than respondents among dependent students, but the difference is not significant.

Table 7-5 summarizes average GSL certifications for respondents and nonrespondents by dependency status. Among independent students with GSL certification, the average certification is higher for nonrespondents than for respondents. The difference is not significant. Among dependent students, the average certification is significantly higher for nonrespondents than for respondents.

Table 7-6 summarizes average Pell awards for respondents and nonrespondents by dependency status. Among independent Pell recipients, respondents have a higher average Pell award than nonrespondents. The opposite is true for dependents. Neither of these differences is significant.

Table 7-7 summarizes mean Campus-Based awards for respondents and nonrespondents by dependency status. Among independent C-B recipients, nonrespondents have a higher mean C-B award than respondents. The

TABLE 7-5. MEAN GSL CERTIFICATION FOR RESPONDENTS AND NONRESPONDENTS BY DEPENDENCY STATUS

Reported Dependency Status	Mean GSL Certification			t	p
	Respondents	Nonrespondents	All Cases		
Independent*	2256.3	2416.2	2283.6	1.3767	0.1707
Dependent*	1974.3	2173.9	2012.7	2.5174	0.0124
All cases*	2087.5	2264.7	2120.1	2.6786	0.0077

TABLE 7-6. MEAN PELL AWARD FOR RESPONDENTS AND NONRESPONDENTS BY DEPENDENCY STATUS

Reported Dependency Status	Mean Pell Award			t	p
	Respondents	Nonrespondents	All Cases		
Independent	1368.3	1266.1	1355.0	-1.7746	0.08
Dependent	1242.9	1303.5	1250.6	1.2363	0.22
All cases	1297.1	1286.1	1295.7	-0.2916	0.77

TABLE 7-7. MEAN CAMPUS-BASED AWARD FOR RESPONDENTS AND NONRESPONDENTS BY DEPENDENCY STATUS

Reported Dependency Status	Mean Campus-Based Award			t	p
	Respondents	Nonrespondents	All Cases		
Independent	1423.7	1526.4	1438.4	0.8688	0.39
Dependent	1465.6	1436.1	1460.3	-0.3930	0.69
All cases	1450.4	1463.6	1452.6	0.2090	0.83

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* Variances are significantly different

opposite is true among dependents. Neither of these differences is significant.

In summary, the most significant measures are SAI, EFC, and amount of GSL certification. Table 7-8 summarizes the relationships between these measures and the incidence of error in the respective programs. For the Pell program, mean SAI is given for groups defined by direction of overall Pell error (under, over, none). For the Campus-Based programs, mean EFC is given for groups defined by the direction of need error (under, over, none) and by the incidence of awards in excess of need (over and none). For the GSL program, mean GSL certification is given for groups defined by the incidence of overall GSL certification error (over and none). The level of significance is given for each comparison.

Since nonrespondents have significantly lower SAI's than respondents, and lower SAI's are associated with no error, the incidence of error may have been overestimated. The likely effect on the magnitude of error is not easily projected because higher SAI's are associated with both under and overawards.

Nonrespondents have significantly higher EFC's than respondents. Higher EFC's are associated with both need error and awards in excess of need. Thus, the incidence of these Campus-Based errors may have been underestimated.

TABLE 7-8. SIGNIFICANT NONRESPONSE MEASURES BY INCIDENCE AND DIRECTION OF ERROR

Significant Nonresponse Measure	Error	Means Direction of Error Under	None	Over	Significance
SAI	Overall Pell Error	702	288	671	0.0001
EFC	Overall Need Error	2210	1367	2433	0.0001
EFC	Overall Awards in Excess of Need	N/A	1985	2541	0.0001
GSL Certification	Certification Error	N/A	2408	2239	0.0004

Nonrespondents have significantly higher GSL certifications than respondents. Higher GSL certifications are associated with no certification error. Thus the incidence of GSL certification error may have been overestimated.

The incidence of Pell and GSL error may have been overestimated and the incidence of Campus-Based errors may have been underestimated. The effect on the magnitude of error is not easily determined using this type of analysis. The sensitivity analysis which follows describes how nonresponse might affect estimates of total error under extreme conditions.

7.1.2 Sensitivity Analysis

Comparing respondents and nonrespondents is one way to assess the potential effects of nonresponse bias on our error estimates. Another is to make various bad-case assumptions about nonrespondents. The analysis in Volume I, Findings, assumes that the average nonrespondent is like the average respondent and that, therefore, average errors would be unchanged by the conversion of nonrespondents to respondents. In this section we test the robustness of our error estimates by assuming that converting nonrespondents would have added cases like the extremes among the respondents. Specifically, we assume that the nonrespondents had the characteristics of the respondents at selected percentiles. In other words, for the Pth percentile we add to our respondents a number of cases equal to the number of nonrespondents all having the same amount of error as the individual respondent whose error value is such that P percent of all respondents had lower values. Table 7-9 summarizes the results of various assumptions about nonrespondent error.

TABLE 7-9. MAJOR ERROR MEASURES UNDER SEVERAL ASSUMPTIONS ABOUT NONRESPONDENT ERROR

OVERALL PELL ERROR

	AVERAGE	5TH PERCENTILE	10TH PERCENTILE	90TH PERCENTILE	95TH PERCENTILE	PERCENTILE OF THE MEAN
Observed Statistic	141.76	-416.50	-203.00	700.00	1050.00	70th
Total Estimated Error ($M)	406	189	272	624	761	

OVERALL CAMPUS-BASED NEED ERROR

	AVERAGE	5TH PERCENTILE	10TH PERCENTILE	90TH PERCENTILE	95TH PERCENTILE	PERCENTILE OF THE MEAN
Observed Statistic	373.10	-1173.45	-700.00	1822.30	2988.75	69th
Total Estimated Error ($M)	504	120	237	863	1153	

OVERALL CAMPUS-BASED AWARDS IN EXCESS OF NEED

	AVERAGE	75TH PERCENTILE	90TH PERCENTILE	95TH PERCENTILE	PERCENTILE OF THE MEAN
Observed Statistic	194.56	0	653.70	1146.85	82nd
Total Estimated Error ($M)	266	217	381	505	

OVERALL GSL CERTIFICATION ERROR

	AVERAGE	75TH PERCENTILE	90TH PERCENTILE	95TH PERCENTILE	PERCENTILE OF THE MEAN
Observed Statistic	246.01	0	365.00	1032.79	89th
Total Estimated Error ($M)	920	681	1036	1686	

For Pell error, the 5th, 10th, 90th and 95th percentiles were chosen. If all nonrespondents had error equal to the value observed at the 5th percentile (-$416.50), the estimate of error would fall to $189 million. Using the error value at the 10th percentile, the estimate of error is $272 million. If all nonrespondents had error equal to the value observed at the 90th percentile ($700) the estimate of error would increase to $624 million. Using the 95th percentile, the estimate of error is $761 million. Under the most extreme assumptions, the estimate of total Pell error could range from $189 million to $761 million.

The same percentiles used for Pell error were used for Campus-Based need error. If all nonrespondents had error equal to the value observed at the 5th percentile, the estimate of error would fall to $120 million. Using the value observed at the 10th percentile, the estimate of total error is $237 million. If all nonrespondents had error equal to the value observed at the 90th percentile, the estimate error would increase to $863 million. Using the 95th percentile, the estimate of error is $1,153 million. Under the most extreme assumptions, the estimate of total Campus-Based need error could range from $120 million to $1,153 million.

For Campus-Based awards in excess of need, the 75th, 90th, and 95th percentiles were chosen. If all nonrespondents had error equal to the value observed at the 75th percentile (0) the estimate of error would fall to $217 million. Using the error value observed at the 90th percentile, the estimate of error would increase to $381 million. The estimate would be $505 million using the value observed at the 95th percentile. Under the most extreme assumptions, the estimate of total Campus-Based awards in excess of need could range from $217 million to $505 million.

The same percentiles that were used for the Campus-Based programs were used for GSL. If all nonrespondents had error equal to the value observed at the 75th percentile (0), the estimate of error would fall to $681 million. Using the value observed at the 90th percentile, the estimate of error would increase to $1,036 million. The estimate of error would be $1,686 million if the value observed at the 95th percentile were used. Under the most extreme assumptions, the estimate of total GSL certification error could range from $681 million to $1,686 million.

7.2 VARIANCE ESTIMATES

A critical part of the Findings Volume I Report are program-wide estimates of error in the population of Pell, Campus-Based, and GSL recipients. These estimates may vary from the actual population figures to the extent that the sample differs from the population. A series of 45 tables in Appendix C presents selected estimates, standard errors of the estimates, and coefficients of variation.

7.2.1 Variance Estimation by the Method of Balanced Repeated Replication

The sampling error of an estimate, based on any sample design using any estimation procedure, no matter how complex, may be estimated by the method of replications. Theoretically, this method is equivalent to the idea that the sample selection, collection of data, and estimation procedures are carried through independently (replicated) several times. In practice, random 50 percent subsets of the survey results are selected and estimates formed from each. The dispersion of the resulting estimates can be used to measure the variance of the full sample. The method of replications has special advantages in reducing the complexity of variance computations. Another benefit is that it may be applied to compute sampling errors for higher-order statistics without the need for new variance expressions.

The method consists of three steps:

- Assemble data for the sample units that make up each of the replicates. This is equivalent to making a copy of the sample data for the units in each of the subsamples of the full sample.
- Perform the estimation procedure on each of the replicates. The same estimation procedure, prepared for the full sample, is applied separately to each of the replicates.
- Calculate the dispersion of the resulting estimates among the replicates to estimate the variance of the full sample. A relatively simple computation formula is used that does not depend on the form of the estimate for which the variance is to be approximated.

Each of the half-sample replicates prepared for variance estimation must satisfy two criteria:

- The replicate must comprise a sample approximately half the size of the full sample.
- The selection of the half-sample must observe the same sampling principles as the full sample.

For the replicates defined for the Title IV Quality Control Study design, these criteria were satisfied by selecting half-samples of the units designated in the first stage of sampling in the full sample. For non-self-representing institutions, a replicate comprised all students selected in half of the clusters; in self-representing institutions a replicate comprised half of the students selected at the school.

Four of the eight certainty institutions were treated as individual strata. Half of the students in each institution were assigned to each half-sample. The remaining four certainty institutions were paired to form two additional strata. One of these was formed to reflect variability introduced by the sampling of branch campuses. The other was formed to create a sufficiently large stratum. Students in noncertainty institutions were assigned to a stratum and half-sample based on the geographic cluster of the institutions. Clusters were paired (in the order they appeared in the sampling frame) to form 50 strata. All students in a cluster were assigned to the same half-sample.

Half-samples of the full sample were defined by randomly selecting one or the other half-sample from each of the 56 pairs; the number of different half-sample replicates possible by this method would equal 2^{56} (about 7.206×10^{16}). McCarthy has shown that the variance can be estimated with equivalent reliability from only a small number of orthogonal replicates.[1] For this study, the number of orthogonal replicates needed is the smallest multiple of four equal to or greater than the number of pairs. With 56 pairs, the number of replicates needed is 56.

---

[1] Philip J. McCarthy, Replication: An Approach to the Analysis of Data from Complex Surveys, National Center for Health Statistics, Vital and Health Statistics Data Evaluation and Methods Research Series 2, No. 14 (Washington: Government Printing Office, 1966).

To calculate the variance for estimate X calculated from the total sample, let x_i be the estimate calculated from the ith half-sample, $i = 1, 2, \ldots, 56$. The variance estimate for X is then

$$VAR\ (X) = \frac{1}{56} \sum_{n=1}^{56} (x_i - X)^2$$

This formula has been used to compute the standard errors (square root of the variance) for each statistic presented in Tables A-1 through O-3 of Appendix C.

7.2.2 Estimated Sampling Errors

In Appendix C, we present estimated sampling errors developed using the methods described in the previous section. For each statistic, we present the estimate itself, the standard error of the estimate, and the coefficient of variation (standard error of the estimate divided by the estimate).

The Title IV program and source of error are identified by letter as follows:

A: Overall Pell Error
B: Pell Student Error
C: Pell Institutional Error
D: Overall Campus-Based Need Error
E: Campus-Based Student Need Error
F: Campus-Based Institutional Need Error

G: Overall Campus-Based Payment Error (Awards in Excess of Need)
H: Campus-Based Student Payment Error (Awards in Excess of Need)
I: Campus-Based Institutional Payment Error (Awards in Excess of Need)
J: Overall Campus-Based Distributional Error
K: Campus-Based Student Distributional Error
L: Campus-Based Institutional Distributional Error
M: Overall GSL Payment (Certification) Error
N: GSL Student Payment (Certification) Error
O: GSL Institutional Payment (Certification) Error

The number associated with each table denotes the parameter for which population estimate, standard error and coefficient of variation are given:

1: Population Total
2: Number of Recipients with Error
3: Mean Error per Recipient with Error

The statistics are given for all recipients as well as for groups of recipients defined by type and control of institution, dependency status, and type of aid received.

7.2.3 Revision of Estimated Total GSL Loan Volume

After the GSL estimates and their standard errors were computed, an updated estimate of total GSL loan volume was made available by ED. Since a ratio adjustment was used to fix the estimated total population loan volume based on our sample to the value of ED's estimate, some of the GSL figures must be adjusted accordingly. This revision will affect estimates of population totals and frequencies, as well as the standard errors associated with these. Each of these estimates should be decreased by about 10 percent. Estimates of means and percents are not affected nor are coefficients of variation for any estimate.

APPENDIX A

WESTAT
An Employee-Owned Research Corporation
1650 Research Blvd. • Rockville, MD 20850 • 301 251-1500

February 6, 1986

Ms. Karen Chauvin
Office of Student Financial Assistance
U.S. Department of Education
ROB #3, Room 5082
7th and D Streets, S.W.
Washington, D. C. 20202

Dear Ms. Chauvin:

A sample composed of 300 institutions and 3,000 students has been selected for Stage II of the Title IV Quality Control Study. Like many large-scale studies, the sample was intended to satisfy a number of specific objectives, and within certain limitations it is particularly efficient in meeting these goals. However, since the sample will be a probability sample of students who participate in Title IV programs, analyses do not have to be restricted to the particular objectives. Unbiased estimates can be prepared for subdomains, and for cross-classification cells. The only constraint on the analyses (and it is an important constraint) is that the precision is directly related to the number of cells in the cross-classification, and the sampling errors will increase with the level of detail.

The purpose of this letter is to suggest within broad terms, what we believe are useful ways of analyzing the data. We also indicate some of the features of the sample and limitations that were necessary in achieving the major objective of the project.

The actual size of the sampling errors for this study will not be known until the project has been completed and variances computed. However, Westat has prepared preliminary estimates of sampling errors for key statistics, based mainly on an analysis of the pilot study (Stage I) but also using other sources. These estimates can be used for general planning purposes, but should be replaced by computed values when survey data become available. Table 1 shows the estimated coefficients of variation (CV) for the total absolute case errors for the three programs. The CV's for other statistics can differ significantly from these numbers. For example, the CV's for absolute case error per student will be smaller than the values shown, and they will be even lower for absolute case error per student with error. Conversely, they will be higher for subsets of students or institutions since the sample sizes will be reduced.

We do not believe that the anticipated size of the sampling errors should preclude analysts from producing and analyzing subdomain estimates. The limitations that exist are that analysts should take the sampling errors into account when drawing conclusions from the data. Essentially this means that the more detailed the cross classification, the greater the difference between two subdomains has to be before the analyst infers that a difference really exists. However, we can visualize the possibility that dramatic difference do exist between some subdomains, and this will be apparent even with large sampling errors. We should note that when the sampling errors are large, it may be good policy to call attention to the fact that an important difference exists but that there is some uncertainty about the actual size of the difference.

In regard to the design of the sample, Westat carried out an evaluation of the efficiency of the planned design for Stage II, using estimates of the components of variance (prepared mostly from the pilot study) and a cost model utilizing earlier experience on related projects. The results indicated that the sample design -- 300 institutions and 3,000 students -- is close to an optimal design in meeting the principal objectives of the study. On the basis of component of variance analysis and the estimated overlap among programs, the total student sample for Stage II was allocated as shown in Table 1.

The term "optimal design" mentioned above, is not quite used in the conventional manner, and some comments may be helpful.

- The efficiency of a sample partially depends on the amount of information available that can be used for sample selection. Data used in establishing measures of size were much weaker for GSL than for the other two programs. This is a major reason for the expected CV on GSL being much higher than for the other two programs.

- It is sometimes possible to compensate for some features of the sample design in the estimation procedure, that is the weighting method. We expect to explore the possibility of reducing the sampling errors through ratio adjustment of the weights to known universe counts of institutions participating in each program.

- In order to achieve the precision requirements, the sample design called for establishing a fixed overall sampling fraction for each program for the initially selected sample to achieve equal weights for all sample students in a program. As a consequence, the number of students in the sample will vary not only across programs within an institution but also among institutions for the same program. In about 20 institutions this variable workload appeared to place a serious strain on the field visits schedule and we subsampled half of the students in those institutions. As a result, the subsampled students will have double the weight, causing a departure from a self-weighting sample.

Table 1. Stage II sample design for Title IV Quality Control Study

Program	Direct sample size	Sample counting overlap	Adjusted for nonresponse	Preliminary estimates of CV for total case errors
Pell grants	1,300	2,482	2,340	6.16%
Campus based	1,511	1,987	1,755	10.4%
GSL	400	1,533	1,331	18.0%

We would like to point out one additional feature of the sample. In earlier discussions of the sample design, there was considerable uncertainty about the degree of homogeneity within schools, and some of the speculations were that intraclass correlations for estimates of total or mean errors might be as high as 0.5. The analysis of components of variance that we carried out indicates that the intraclass correlations, although not trivial, are far below these levels. Our current best estimates are that they average about 0.1.

Sincerely,

Joseph Waksberg

Joseph Waksberg
Vice President

JW:js

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MEMORANDUM

To: October 20, 1986

From: Josefina A. Lago

Subject: Sources of Variability in Overall Student Weights

A. Introduction

This memorandum documents the sources of variability in the final student weights and the variance implications of this variability. Two main sources are identified and discussed:

- Variability due to sample design features;
- Variability due to adjustments to the within-institution sampling rate in response to field results.

As will be shown in A and B below, the variability introduced by the design features is quite small compared to that introduced by the adjustments to the within-institution sampling rates.

B. Design Related Variability in Weights

In the Title IV sample design students were sampled independently for each of the three programs of interest but a student sampled for say Pell and receiving also Campus Based aid and GSL will also be included in the analysis for those other programs. This design feature resulted in a built-in variability in weights because the final weight of students receiving more than one type of Title IV aid must reflect the fact that they had multiple chances of coming into the sample. That is, since their probability of selection is greater than it would have been if they had been listed in only one of the program frames, their final weight must be reduced accordingly. The effect of this built-in variability in weights is evidenced by the variability in the median weights for the different program combination. For students within Pell or CB the smallest median weight is 618 while the largest median weights are 1,815 for

Pell and 1,075 for CB. For GSL the variability is somewhat larger. The median weight of a GSL student who receives also Pell and CB is 617 but for a GSL-only student it is 7,240.

Another source of variability in weights that is common to practically every survey is that which arises from nonresponse adjustment. For the Title IV survey, the institution nonresponse adjustment factor (1.04) is quite small, but the student nonresponse adjustments will most likely be larger.

C. Adjustments to Within-Institution Sampling Rates

The Title IV sample design calls for developing within-institution sampling rates for the three programs of interest--Pell, Campus Based and GSL--such that the overall student sampling rate, and thus the overall student weight, would be the same for all students sampled for a particular program. The initial overall sampling rates, f_i , for the three programs were:

Pell: f_1 = 1,300/2,436,480
CB: f_2 = 1,511/1,358,014
GSL: f_3 = 400/3,247,000

where the numerator is the target student sample size for the program, and the denominator is the best estimate available of the total number of students in the program.

Next we describe the series of adjustments applied to the within-institution sampling rates after the scheduling calls and throughout the field period and the variability introduced in the student final weights due to these adjustments.

1) The schedule of visits to sample institutions was developed based on the expected institution sample sizes ("takes") computed by applying the within-institution sampling rates to the expected recipients reported on the Department of Education's universe files. After revised counts of recipients were obtained during the scheduling calls to the sample institutions, Westat produced updated estimates of the expected institution "takes" based on the within-institution sampling rates consistent with a self-weighting sample.

Whenever the resulting case workload could not be accommodated in the time allocated to the institution, rates were cut to one half or one third of the original rate. At this point, rates were cut to one half or one third of the original rate for 33 institutions.

2) At several institutions, when the data collector arrived s/he found that the actual number of recipients in one or more of the Title IV programs was considerably larger than that reported during the scheduling call and could not be accommodated during the time allotted to the visit. After calling Advanced Technology cases were subsampled (generally a one-half subsample) to fit the time available for the visit . This resulted in a smaller within-institution sampling rate than that computed to yield a self-weighting sample.

3) Half way through the field period our estimate of the total sample yield was only 2,600 students. The situation was discussed with the Department of Education and the decision was made to increase the "take" in any institution where the schedule permitted it in order to achieve a total sample of 3,000 students. This procedure, particularly in cases where the "take" for the program was initially small, resulted in some significant weight reductions. For instance, if the initial "take" was one student and the data collector estimated that s/he could do five students, by increasing the sample to five the weight was reduced by a factor of five.

4) The same student may have been sampled from more than one list because the student sampling was carried independently for each program. For twelve students their joint probability of selection was cut in half to take into account the fact that only one questionnaire was obtained for them although they came into the sample twice.

The adjustments described in 1, 2 and 4 above had the effect of reducing the overall student selection probability and thus increasing the weight. The adjustment described in 3 resulted in an increase in the overall probability of selection and thus decrease in the weight. Clearly, as shown in Table 1, for recipients of a given program the variability in weights accounted for by these sources is about ten to twenty times larger than that accounted for by the built-in variability discussed in B.

Table 1. Distribution of Title IV Weights Before Truncation and Effect of Truncation on Estimates of Recipients

Sum of weights	Program	Median	Sample size	Top 99 percent	Top 95 percent	Bottom 1 percent	Weighted recipients	Expected*
							Before Truncation:	
161	1 CB only	1075	148	4938	1667	222	Pell 2244000	2436480
303	2 CB/GSL	936	317	2620	1658	61	CB 1363000	1358014
1626	3 GSL only	7240	248	14729	7240	574	GSL 2946000	3247000
756	4 Pell only	1815	415	6741	3630	96	After Truncation: Pell 2177000	2436480
471	5 Pell/CB	675	719	2074	1351	59	CB 1312000	1358014
428	6 Pell/CB/GSL	618	718	1704	875	102	GSL 2869000	3247000
589	7 Pell/GSL	1451	418	4683	2418	490		

*Based on Stage I

D. Impact of the Variability in Weights on Variances for Program Estimates

From the point of view of precision of sample estimates for a particular program, a self-weighting sample (one where every student in a program has the same probability of selection) is preferable to one where the students have varying probabilities within a program. As shown in Table 1, the Title IV weights for a particular program, for the reasons discussed above, have considerable variability. Large extreme weights are generally of greater concern that low extreme weights because they can result in significant increases in the variances of survey estimates. The undesirable consequence of cases with small extreme weights is that they make a very small contribution to the total estimate as if the sample size were smaller that what it actually is. Thus, after evaluating the results shown in Table 1 it was decided that the top 5 percent of the large weights would be truncated to the 95-percentile value shown in the table, and the bottom 1 percent of the low weights would be truncated to the 1-percentile value.

After truncation, the weights are distributed as shown below.

	Median	Lowest	Highest	V^2
Pell:	675	59	3630	.3828
CB:	675	59	1667	.1579
GSL.	936	61	7240	1.5964

The impact on variances of this variability in weights may be approximated by the factor

$$F = 1 + V^2$$

where V^2 is the relvariance (square of the coefficient of variation) of the weights. Thus, because of the variability in weights, the variance of Pell estimates will be increased by a factor of 1.38, for CB by 1.16 and for GSL by 2.60. Relating these results to the preliminary estimates of CVs for total case error shown in Joe Waksberg's memorandum (February 6, 1986), the CVs with and without the effect of the variability in weights are presented below.

Program	Preliminary estimates of CVs for total case error	Impact of variability in weights	Adjusted CVs
Pell	6.15 %	1.18	7.3 %
CB	10.4 %	1.08	11.2 %
GSL	18.0 %	1.61	28.9%

cc: J. Waksberg
R. Learmonth

Table 1. Distribution of Title IV Weights Before Truncation and Effect of Truncation on Estimates of Recipients

Sum of weights	Program	Median	Sample size	Top 99 percent	Top 95 percent	Bottom 1 percent	Weighted recipients		Expected*
							Before Truncation:		
161	1 CB only	1075	148	4838	1667	222	Pell	2244000	2436480
303	2 CB/GSL	936	317	2620	1658	61	CB	1363000	1358014
1626	3 GSL only	7240	248	14729	7240	574	GSL	2946000	3247000
756	4 Pell only	1815	415	6741	3630	96	After Truncation:		
471	5 Pell/CB	675	719	2074	1351	59	Pell	2177000	2436480
428	6 Pell/CB/GSL	618	718	1704	875	102	CB	1312000	1358014
589	7 Pell/GSL	1451	418	4683	2418	490	GSL	2869000	3247000

*Based on Stage I

APPENDIX B

PROJECT SUMMARY

TITLE IV QUALITY CONTROL PROJECT

STAGE II: AN INTEGRATED PROJECT

Background

The Title IV Student Financial Assistance programs have grown dramatically in both dollar volume and student participation during the past decade. With this rapid growth has come the potential for errors in student application information, student eligibility certification, award calculations, and other program procedures. The Department of Education is increasingly aware of the need to reduce these errors and to improve performance in all Federal student assistance programs. The Department is committed to ensuring that these programs operate efficiently and that funds are allocated properly.

Project Objectives and Activities

The two stages of the Title IV Quality Control Project are designed to measure the degree to which errors exist in the delivery of all five major sources of student aid, identify causes of error, recommend management corrective actions, and provide technical assistance and follow-up analysis. Stage I was a pilot study to determine the feasibility of measuring error in the Campus-Based programs and the Guaranteed Student Loan (GSL) certification process. Included in the pilot were the National Direct Student Loan (NDSL), Supplemental Educational Opportunity Grant (SEOG), and College Work-Study (CWS) programs, known as the "Campus-Based" programs, and the Guaranteed Student Loan program. In Stage II the scope has been expanded to include all five major Title IV student assistance programs by adding the Pell Grant program.

The primary activities conducted during Stage I (1984) included the following:

- The 1983-84 program-wide error rates by number of cases and amount of dollars for the Campus-Based and GSL programs were documented, computed, and analyzed.
- Institutional compliance with Federal legislation and regulations, school-specific packaging philosophies, need analysis principles, and other school administrative policies and procedures were documented and analyzed.
- The major types of program errors were identified and analyzed.
- The effectiveness of quality control procedures and corrective actions which had already been implemented to reduce or prevent error was evaluated.
- Recommendations were developed for management actions to correct each of the major errors identified.

These activities were based on data gathered through a nationwide survey of 820 students and their parents, and 281 postsecondary institutions in the spring of 1984. Trained interviewers visited a random, representative sample of public, private, and proprietary institutions. At each institution, the interviewer selected a random sample of Campus-Based and GSL recipients and reviewed their financial aid records. The financial aid administrator was also interviewed and asked to describe the institution's student aid awarding procedures. Another group of experienced interviewers visited the students who were selected, and their parents, and asked them to supply documents verifying the information that appeared on their application forms.

Findings from Stage I suggest that error can be quantified and is significant in the Campus-Based program and GSL certification process. Based on these findings, a broader effort will be undertaken in Stage II to more precisely define and measure error, and obtain a more comprehensive understanding of Pell, Campus-Based, and GSL program error. In Stage II, the 1985-86 program-wide error rate for the five programs will be measured, probable causes for major types of error will be identified, and recommendations for corrective actions will be developed. In particular, the Pell error rate will be remeasured to determine the effectiveness of recently expanded validation requirements. Stage II will also evaluate the effectiveness of other institutional quality control procedures in reducing payment error.

Stage II methodology will be the same as in Stage I: a representative sample (about 300) institutions will be visited; student record information collected; financial aid administrators interviewed; and students (about 3,000) and their parents asked to provide documents verifying their application information.

Project Contractor

The Office of Student Financial Assistance awarded the Title IV Quality Control Project contract in January 1984 to Advanced Technology, Inc., of Reston, Virginia, and its subcontractor, Westat, Inc., of Rockville, Maryland. Interviewers who visit institutions are employees of Advanced Technology; interviewers who visit students and their parents are employees of Westat. Ms. Carol Miller of Advanced Technology is the project director. Mr. Robert Learmonth is the project team leader for Westat.

Sponsoring Agency

The Title IV Quality Control Project is sponsored by the Statistical Analysis Branch of the Division of Quality Assurance, Debt Collection and Management Assistance Service, U.S. Department of Education. Dr. David Iwamoto is the chief of the Statistical Analysis Branch, and Mr. Ernst Becker is the director of the Division of Quality Assurance.

Additional information may be obtained from Ms. Karen Chauvin, project officer for the Statistical Analysis Branch, Division of Quality Assurance at (202) 245-0102.

APPENDIX C

Table A-1. Estimated sampling errors for total Pell error:
Overall error, $50 tolerance

Category	Estimate ($millions)	Standard error ($millions)	Coefficient of variation
All recipients	$406.45	$43.58	0.107
Type and control of institution			
2-year public	$61.89	$24.84	0.401
4-year public	$178.67	$21.14	0.118
2-year private	$18.42	$15.79	0.857
4-year private	$85.63	$21.19	0.247
Proprietary	$61.84	$28.95	0.468
Dependency status			
Independent	$105.21	$30.44	0.289
Dependent	$301.24	$24.72	0.082
Type of aid received			
Pell only	$138.42	$32.49	0.235
Pell and C-B	$76.62	$11.46	0.150
Pell and GSL	$109.00	$25.08	0.230
Pell, C-B and GSL	$82.41	$10.68	0.130

Table A-2. Estimated sampling errors for number of recipients with Pell error: Overall error, $50 tolerance

Category	Estimate (thousands)	Standard error (thousands)	Coefficient of variation
All recipients	1520.76	55.31	0.036
Type and control of institution			
2-year public	468.20	53.58	0.114
4-year public	564.87	50.50	0.089
2-year private	44.59	22.12	0.496
4-year private	256.38	37.09	0.145
Proprietary	186.72	37.95	0.203
Dependency status			
Independent	542.99	37.73	0.070
Dependent	977.77	38.94	0.040
Type of aid received			
Pell only	546.45	46.83	0.086
Pell and C-B	312.66	25.34	0.081
Pell and GSL	384.21	35.13	0.091
Pell, C-B and GSL	277.44	21.91	0.079

Table A-3. Estimated sampling errors for mean error per recipient with Pell error: Overall error, $50 tolerance

Category	Estimate	Standard error	Coefficient of variation
All recipients	$267.27	$29.42	0.110
Type and control of institution			
2-year public	$132.18	$55.41	0.419
4-year public	$316.31	$29.74	0.094
2-year private	$413.22	$305.90	0.740
4-year private	$333.98	$56.11	0.168
Proprietary	$331.19	$147.28	0.445
Dependency status			
Independent	$193.75	$56.22	0.290
Dependent	$308.09	$24.58	0.080
Type of aid received			
Pell only	$253.30	$54.18	0.214
Pell and C-B	$245.06	$36.44	0.149
Pell and GSL	$283.70	$54.10	0.191
Pell, C-B and GSL	$297.03	$37.06	0.125

Table B-1. Estimated sampling errors for total Pell error: Student error, $50 tolerance

Category	Estimate ($millions)	Standard error ($millions)	Coefficient of variation
All recipients	$272.17	$24.33	0.089
Type and control of institution			
2-year public	$40.12	$14.20	0.354
4-year public	$125.07	$17.16	0.137
2-year private	$7.94	$3.31	0.417
4-year private	$50.85	$8.37	0.165
Proprietary	$48.17	$17.82	0.370
Dependency status			
Independent	$30.81	$13.01	0.422
Dependent	$241.35	$18.85	0.078
Type of aid received			
Pell only	$92.53	$18.69	0.202
Pell and C-B	$55.16	$8.72	0.158
Pell and GSL	$64.27	$13.87	0.216
Pell, C-B and GSL	$60.20	$9.52	0.158

Table B-2. Estimated sampling errors for number of recipients with Pell error: Student error, $50 tolerance

Category	Estimate (thousands)	Standard error (thousands)	Coefficient of variation
All recipients	904.74	44.27	0.049
Type and control of institution			
2-year public	190.53	26.71	0.140
4-year public	371.87	37.42	0.101
2-year private	25.94	11.15	0.430
4-year private	216.19	30.64	0.142
Proprietary	100.22	25.12	0.251
Dependency status			
Independent	185.41	22.04	0.119
Dependent	719.33	34.51	0.048
Type of aid received			
Pell only	285.76	35.24	0.123
Pell and C-B	187.47	18.93	0.101
Pell and GSL	222.71	22.24	0.100
Pell, C-B and GSL	208.80	19.59	0.094

Table B-3. Estimated sampling errors for mean error per recipient with Pell error: Student error, $50 tolerance

Category	Estimate	Standard error	Coefficient of variation
All recipients	$300.82	$20.01	0.067
Type and control of institution			
2-year public	$210.60	$72.46	0.344
4-year public	$336.34	$33.77	0.100
2-year private	$306.30	$148.65	0.485
4-year private	$235.23	$33.50	0.142
Proprietary	$480.66	$133.24	0.277
Dependency status			
Independent	$166.20	$60.58	0.365
Dependent	$335.52	$22.19	0.066
Type of aid received			
Pell only	$323.79	$47.51	0.147
Pell and C-B	$294.26	$46.18	0.157
Pell and GSL	$288.59	$52.14	0.181
Pell, C-B and GSL	$288.33	$40.27	0.140

Table C-1. Estimated sampling errors for total Pell error:
Institutional error, $50 tolerance

Category	Estimate ($millions)	Standard error ($millions)	Coefficient of variation
All recipients	$133.36	$42.85	0.321
Type and control of institution			
2-year public	$21.55	$20.05	0.931
4-year public	$53.53	$14.97	0.280
2-year private	$10.45	$14.52	1.389
4-year private	$34.26	$16.44	0.480
Proprietary	$13.57	$22.29	1.643
Dependency status			
Independent	$74.19	$32.16	0.433
Dependent	$59.16	$17.23	0.291
Type of aid received			
Pell only	$46.00	$26.17	0.569
Pell and C-B	$21.05	$9.38	0.446
Pell and GSL	$44.31	$20.37	0.460
Pell, C-B and GSL	$22.00	$5.58	0.254

Table C-2. Estimated sampling errors for number of recipients with Pell error: Institutional error, $50 tolerance

Category	Estimate (thousands)	Standard error (thousands)	Coefficient of variation
All recipients	839.18	59.36	0.071
Type and control of institution			
2-year public	351.97	46.05	0.131
4-year public	257.01	37.38	0.145
2-year private	32.13	18.83	0.586
4-year private	74.50	18.53	0.249
Proprietary	123.57	28.51	0.231
Dependency status			
Independent	436.85	34.74	0.080
Dependent	402.33	40.17	0.100
Type of aid received			
Pell only	334.23	37.74	0.113
Pell and C-B	174.89	21.58	0.123
Pell and GSL	228.04	29.29	0.129
Pell, C-B and GSL	102.03	13.58	0.133

Table C-3. Estimated sampling errors for mean error per recipient with Pell error: Institutional error, $50 tolerance

Category	Estimate	Standard error	Coefficient of variation
All recipients	$158.91	$51.69	0.325
Type and control of institution			
2-year public	$61.22	$59.40	0.970
4-year public	$208.28	$44.08	0.212
2-year private	$325.37	$427.20	1.313
4-year private	$459.85	$149.90	0.326
Proprietary	$109.78	$212.35	1.934
Dependency status			
Independent	$169.84	$75.26	0.443
Dependent	$147.05	$40.80	0.278
Type of aid received			
Pell only	$137.62	$76.30	0.554
Pell and C-B	$120.37	$51.76	0.430
Pell and GSL	$194.30	$83.95	0.432
Pell, C-B and GSL	$215.65	$60.04	0.278

Table D-1. Estimated sampling errors for total C-B need error:
Overall error, $50 tolerance

Category	Estimate ($millions)	Standard error ($millions)	Coefficient of variation
All recipients	$504.61	$58.15	0.115
Type and control of institution			
2-year public	$55.44	$26.98	0.487
4-year public	$207.64	$37.78	0.182
2-year private	$5.40	$8.08	1.496
4-year private	$214.54	$42.39	0.198
Proprietary	$21.59	$19.22	0.891
Dependency status			
Independent	$241.87	$43.74	0.181
Dependent	$262.75	$41.06	0.156
Type of aid received			
C-B Only	$81.62	$15.70	0.192
Pell and C-B	$106.37	$32.48	0.305
C-B and GSL	$216.42	$38.10	0.176
Pell, C-B and GSL	$100.21	$30.56	0.305

Table D-2. Estimated sampling errors for number of recipients with C-B need error: Overall error, $50 tolerance

Category	Estimate (thousands)	Standard error (thousands)	Coefficient of variation
All recipients	990.42	29.59	0.030
Type and control of institution			
2-year public	169.67	28.64	0.169
4-year public	417.55	42.11	0.101
2-year private	21.34	9.66	0.453
4-year private	341.70	35.47	0.104
Proprietary	40.15	11.84	0.295
Dependency status			
Independent	330.52	21.71	0.066
Dependent	659.90	23.52	0.036
Type of aid received			
C-B Only	123.27	12.64	0.103
Pell and C-B	336.11	25.80	0.077
C-B and GSL	247.23	23.18	0.094
Pell, C-B and GSL	283.81	20.57	0.073

Table D-3. Estimated sampling errors for mean error per recipient with C-B need error: Overall error, $50 tolerance

Category	Estimate	Standard error	Coefficient of variation
All recipients	$509.50	$62.81	0.123
Type and control of institution			
2-year public	$326.78	$164.18	0.502
4-year public	$497.28	$95.03	0.191
2-year private	$253.20	$443.92	1.753
4-year private	$627.85	$102.77	0.164
Proprietary	$537.64	$584.13	1.087
Dependency status			
Independent	$731.78	$115.51	0.158
Dependent	$398.16	$62.79	0.158
Type of aid received			
C-B Only	$662.14	$122.02	0.184
Pell and C-B	$316.46	$100.96	0.319
C-B and GSL	$875.39	$115.14	0.132
Pell, C-B and GSL	$353.08	$110.62	0.313

Table E-1. Estimated sampling errors for total C-B need error: Student error, $50 tolerance

Category	Estimate ($millions)	Standard error ($millions)	Coefficient of variation
All recipients	$403.56	$51.42	0.127
Type and control of institution			
2-year public	$56.23	$19.15	0.341
4-year public	$175.08	$33.40	0.191
2-year private	$2.03	$11.30	5.573
4-year private	$153.22	$35.42	0.231
Proprietary	$17.01	$13.97	0.822
Dependency status			
Independent	$221.53	$45.90	0.207
Dependent	$182.03	$36.17	0.199
Type of aid received			
C-B Only	$46.69	$12.68	0.272
Pell and C-B	$117.34	$28.25	0.241
C-B and GSL	$148.35	$30.28	0.204
Pell, C-B and GSL	$91.17	$24.70	0.271

Table E-2. Estimated sampling errors for number of recipients with C-B need error: Student error, $50 tolerance

Category	Estimate (thousands)	Standard error (thousands)	Coefficient of variation
All recipients	826.70	26.12	0.032
Type and control of institution			
2-year public	130.10	21.38	0.164
4-year public	343.74	34.74	0.101
2-year private	19.24	8.92	0.464
4-year private	301.07	32.80	0.109
Proprietary	32.55	9.24	0.284
Dependency status			
Independent	274.58	19.95	0.073
Dependent	552.12	23.58	0.043
Type of aid received			
C-B Only	107.21	12.49	0.117
Pell and C-B	269.94	21.95	0.081
C-B and GSL	220.65	21.14	0.096
Pell, C-B and GSL	228.89	16.12	0.070

Table E-3. Estimated sampling errors for mean error per recipient with C-B need error: Student error, $50 tolerance

Category	Estimate	Standard error	Coefficient of variation
All recipients	$488.15	$63.42	0.130
Type and control of institution			
2-year public	$432.18	$154.98	0.359
4-year public	$509.32	$99.12	0.195
2-year private	$105.38	$633.65	6.013
4-year private	$508.93	$101.05	0.199
Proprietary	$522.39	$493.66	0.945
Dependency status			
Independent	$806.80	$139.61	0.173
Dependent	$329.68	$62.81	0.191
Type of aid received			
C-B Only	$435.52	$110.08	0.253
Pell and C-B	$434.68	$106.91	0.246
C-B and GSL	$672.33	$115.27	0.171
Pell, C-B and GSL	$398.32	$107.70	0.270

Table F-1. Estimated sampling errors for total C-B need error: Institutional error, $50 tolerance

Category	Estimate ($millions)	Standard error ($millions)	Coefficient of variation
All recipients	$100.64	$34.94	0.347
Type and control of institution			
2-year public	-$0.86	$13.08	15.219
4-year public	$32.35	$13.82	0.427
2-year private	$3.41	$7.01	2.053
4-year private	$61.06	$26.30	0.431
Proprietary	$4.68	$9.50	2.031
Dependency status			
Independent	$20.32	$19.64	0.966
Dependent	$80.32	$26.81	0.334
Type of aid received			
C-B Only	$35.01	$11.39	0.325
Pell and C-B	-$10.98	$15.78	1.437
C-B and GSL	$67.56	$24.56	0.364
Pell, C-B and GSL	$9.05	$17.62	1.947

Table F-2. Estimated sampling errors for number of recipients with C-B need error: Institutional error, $50 tolerance

Category	Estimate (thousands)	Standard error (thousands)	Coefficient of variation
All recipients	403.50	23.57	0.058
Type and control of institution			
2-year public	96.01	19.59	0.204
4-year public	168.50	19.90	0.118
2-year private	9.13	4.70	0.515
4-year private	103.50	15.24	0.147
Proprietary	26.36	10.00	0.379
Dependency status			
Independent	153.38	13.53	0.088
Dependent	250.12	18.38	0.074
Type of aid received			
C-B Only	34.14	7.55	0.221
Pell and C-B	180.29	15.66	0.087
C-B and GSL	59.01	9.91	0.168
Pell, C-B and GSL	130.05	13.44	0.103

Table F-3. Estimated sampling errors for mean error per recipient with C-B need error: Institutional error, $50 tolerance

Category	Estimate	Standard error	Coefficient of variation
All recipients	$249.43	$90.88	0.364
Type and control of institution			
2-year public	-$8.95	$137.21	15.326
4-year public	$191.98	$89.35	0.465
2-year private	$373.89	$924.03	2.471
4-year private	$589.99	$243.83	0.413
Proprietary	$177.42	$411.82	2.321
Dependency status			
Independent	$132.50	$130.77	0.987
Dependent	$321.13	$110.69	0.345
Type of aid received			
C-B Only	$1,025.56	$278.17	0.271
Pell and C-B	-$60.90	$84.91	1.394
C-B and GSL	$1,144.81	$313.07	0.274
Pell, C-B and GSL	$69.60	$138.28	1.987

Table G-1. Estimated sampling errors for total C-B payment error: Overall error, $50 tolerance

Category	Estimate ($millions)	Standard error ($millions)	Coefficient of variation
All recipients	$266.27	$21.25	0.080
Type and control of institution			
2-year public	$36.25	$10.47	0.289
4-year public	$99.72	$15.61	0.157
2-year private	$4.29	$2.79	0.651
4-year private	$115.22	$18.64	0.162
Proprietary	$10.79	$6.83	0.633
Dependency status			
Independent	$101.49	$15.38	0.152
Dependent	$164.78	$19.25	0.117
Type of aid received			
C-B Only	$43.41	$8.12	0.187
Pell and C-B	$82.62	$14.56	0.176
C-B and GSL	$83.64	$15.23	0.182
Pell, C-B and GSL	$56.59	$8.11	0.143

Table G-2. Estimated sampling errors for number of recipients with C-B payment error: Overall error, $50 tolerance

Category	Estimate (thousands)	Standard error (thousands)	Coefficient of variation
All recipients	289.06	16.47	0.057
Type and control of institution			
2-year public	45.50	9.75	0.214
4-year public	132.23	14.98	0.113
2-year private	2.61	1.55	0.593
4-year private	97.98	14.04	0.143
Proprietary	10.73	4.76	0.443
Dependency status			
Independent	109.91	10.80	0.098
Dependent	179.16	15.48	0.086
Type of aid received			
C-B Only	47.75	8.02	0.168
Pell and C-B	98.29	11.45	0.117
C-B and GSL	79.86	12.20	0.153
Pell, C-B and GSL	63.16	8.68	0.137

Table G-3. Estimated sampling errors for mean error per recipient with C-B payment error: Overall error, $50 tolerance

Category	Estimate	Standard error	Coefficient of variation
All recipients	$921.14	$61.71	0.067
Type and control of institution			
2-year public	$796.72	$167.54	0.210
4-year public	$754.17	$73.92	0.098
2-year private	$1,641.42	$451.95	0.275
4-year private	$1,175.87	$105.76	0.090
Proprietary	$1,004.83	$503.43	0.501
Dependency status			
Independent	$923.37	$90.36	0.098
Dependent	$919.77	$73.44	0.080
Type of aid received			
C-B Only	$909.15	$99.73	0.110
Pell and C-B	$840.61	$113.40	0.135
C-B and GSL	$1,047.23	$105.38	0.101
Pell, C-B and GSL	$896.08	$119.09	0.133

Table H-1. Estimated sampling errors for total C-B payment error: Student error, $50 tolerance

Category	Estimate ($millions)	Standard error ($millions)	Coefficient of variation
All recipients	$137.74	$15.28	0.111
Type and control of institution			
2-year public	$21.86	$7.61	0.348
4-year public	$62.51	$12.49	0.200
2-year private	$2.75	$2.43	0.884
4-year private	$47.14	$11.73	0.249
Proprietary	$3.49	$3.29	0.943
Dependency status			
Independent	$57.10	$9.49	0.166
Dependent	$80.64	$14.71	0.182
Type of aid received			
C-B Only	$20.54	$5.76	0.280
Pell and C-B	$53.44	$11.95	0.224
C-B and GSL	$43.96	$10.72	0.244
Pell, C-B and GSL	$19.81	$4.84	0.244

Table H-2. Estimated sampling errors for number of recipients with C-B payment error: Student error, $50 tolerance

Category	Estimate (thousands)	Standard error (thousands)	Coefficient of variation
All recipients	163.12	13.21	0.081
Type and control of institution			
2-year public	26.68	6.07	0.228
4-year public	81.60	11.15	0.137
2-year private	1.65	1.29	0.778
4-year private	50.07	10.74	0.214
Proprietary	3.12	2.24	0.719
Dependency status			
Independent	64.57	7.66	0.119
Dependent	98.55	12.53	0.127
Type of aid received			
C-B Only	26.48	6.20	0.234
Pell and C-B	60.98	9.15	0.150
C-B and GSL	48.99	10.47	0.214
Pell, C-B and GSL	26.67	5.13	0.192

Table H-3. Estimated sampling errors for mean error per recipient with C-B payment error: Student error, $50 tolerance

Category	Estimate	Standard error	Coefficient of variation
All recipients	$844.44	$66.04	0.078
Type and control of institution			
2-year public	$819.28	$213.00	0.260
4-year public	$766.07	$90.94	0.119
2-year private	$1,665.52	$637.66	0.383
4-year private	$941.51	$112.56	0.120
Proprietary	$1,117.04	$577.12	0.517
Dependency status			
Independent	$884.32	$104.34	0.118
Dependent	$818.31	$89.00	0.109
Type of aid received			
C-B Only	$775.83	$128.39	0.166
Pell and C-B	$876.26	$152.24	0.174
C-B and GSL	$897.24	$91.29	0.102
Pell, C-B and GSL	$742.80	$121.84	0.164

Table I-1. Estimated sampling errors for total C-B payment error: Institutional error, $50 tolerance

Category	Estimate ($millions)	Standard error ($millions)	Coefficient of variation
All recipients	$136.26	$15.17	0.111
Type and control of institution			
2-year public	$15.35	$4.82	0.314
4-year public	$40.10	$6.50	0.162
2-year private	$2.10	$1.59	0.754
4-year private	$71.13	$13.50	0.190
Proprietary	$7.58	$4.17	0.550
Dependency status			
Independent	$47.84	$9.94	0.208
Dependent	$88.42	$13.25	0.150
Type of aid received			
C-B Only	$24.62	$5.74	0.233
Pell and C-B	$30.94	$6.32	0.204
C-B and GSL	$41.42	$12.44	0.300
Pell, C-B and GSL	$39.28	$6.93	0.176

Table I-2. Estimated sampling errors for number of recipients with C-B payment error: Institutional error, $50 tolerance

Category	Estimate (thousands)	Standard error (thousands)	Coefficient of variation
All recipients	171.89	14.06	0.082
Type and control of institution			
2-year public	25.05	6.75	0.270
4-year public	64.22	9.16	0.143
2-year private	1.94	1.36	0.702
4-year private	70.33	10.52	0.150
Proprietary	10.35	5.09	0.492
Dependency status			
Independent	60.44	8.99	0.149
Dependent	111.45	10.88	0.098
Type of aid received			
C-B Only	29.78	6.46	0.217
Pell and C-B	49.82	7.29	0.146
C-B and GSL	44.52	8.82	0.198
Pell, C-B and GSL	47.77	8.11	0.170

Table I-3. Estimated sampling errors for mean error per recipient with C-B payment error: Institutional error, $50 tolerance

Category	Estimate	Standard error	Coefficient of variation
All recipients	$792.70	$70.93	0.090
Type and control of institution			
2-year public	$612.91	$123.40	0.201
4-year public	$624.37	$70.80	0.113
2-year private	$1,084.28	$417.50	0.385
4-year private	$1,011.34	$138.13	0.137
Proprietary	$731.93	$205.00	0.280
Dependency status			
Independent	$791.52	$101.46	0.128
Dependent	$793.33	$84.73	0.107
Type of aid received			
C-B Only	$826.72	$121.95	0.148
Pell and C-B	$621.05	$85.22	0.137
C-B and GSL	$930.35	$207.17	0.223
Pell, C-B and GSL	$822.22	$127.33	0.155

Table J-1. Estimated sampling errors for total C-B distributional error: Overall error, $50 tolerance

Category	Estimate ($millions)	Standard error ($millions)	Coefficient of variation
All recipients	$216.49	$31.20	0.144
Type and control of institution			
2-year public	$29.20	$15.04	0.515
4-year public	$91.71	$20.36	0.222
2-year private	$1.34	$3.07	2.295
4-year private	$97.55	$23.42	0.240
Proprietary	-$3.31	$7.79	2.353
Dependency status			
Independent	$77.05	$21.13	0.274
Dependent	$139.44	$24.31	0.174
Type of aid received			
C-B Only	$48.62	$10.33	0.212
Pell and C-B	$49.11	$20.68	0.421
C-B and GSL	$102.03	$20.30	0.199
Pell, C-B and GSL	$16.73	$12.19	0.729

Table J-2. Estimated sampling errors for number of recipients with C-B distributional error: Overall error, $50 tolerance

Category	Estimate (thousands)	Standard error (thousands)	Coefficient of variation
All recipients	886.44	28.80	0.033
Type and control of institution			
2-year public	145.29	25.10	0.173
4-year public	379.07	37.01	0.098
2-year private	18.98	8.77	0.462
4-year private	306.93	33.50	0.109
Proprietary	36.18	10.76	0.297
Dependency status			
Independent	298.91	20.46	0.068
Dependent	587.53	24.28	0.041
Type of aid received			
C-B Only	108.16	12.68	0.117
Pell and C-B	298.50	22.45	0.075
C-B and GSL	230.05	24.56	0.107
Pell, C-B and GSL	249.73	19.69	0.079

Table J-3. Estimated sampling errors for mean error per recipient with C-B distributional error: Overall error, $50 tolerance

Category	Estimate	Standard error	Coefficient of variation
All recipients	$244.22	$36.24	0.148
Type and control of institution			
2-year public	$200.98	$106.71	0.531
4-year public	$241.95	$55.92	0.231
2-year private	$70.51	$177.12	2.512
4-year private	$317.82	$65.27	0.205
Proprietary	-$91.49	$243.46	2.661
Dependency status			
Independent	$257.77	$64.56	0.251
Dependent	$237.33	$40.63	0.171
Type of aid received			
C-B Only	$449.49	$90.80	0.202
Pell and C-B	$164.53	$69.42	0.422
C-B and GSL	$443.53	$71.20	0.161
Pell, C-B and GSL	$66.97	$51.50	0.769

Table K-1. Estimated sampling errors for total C-B distributional error:
Student error, $50 tolerance

Category	Estimate ($millions)	Standard error ($millions)	Coefficient of variation
All recipients	$127.71	$29.93	0.234
Type and control of institution			
2-year public	$15.82	$12.05	0.762
4-year public	$62.55	$16.95	0.271
2-year private	-$0.14	$3.26	23.393
4-year private	$51.71	$22.63	0.438
Proprietary	-$2.24	$7.76	3.470
Dependency status			
Independent	$58.16	$20.47	0.352
Dependent	$69.54	$23.67	0.340
Type of aid received			
C-B Only	$29.86	$9.72	0.326
Pell and C-B	$31.50	$18.71	0.594
C-B and GSL	$65.33	$17.78	0.272
Pell, C-B and GSL	$1.02	$11.92	11.688

Table K-2. Estimated sampling errors for number of recipients with C-B distributional error: Student error, $50 tolerance

Category	Estimate (thousands)	Standard error (thousands)	Coefficient of variation
All recipients	775.59	25.41	0.033
Type and control of institution			
2-year public	118.18	20.03	0.170
4-year public	323.69	31.46	0.097
2-year private	18.01	8.48	0.471
4-year private	282.65	32.29	0.114
Proprietary	33.05	10.05	0.304
Dependency status			
Independent	254.81	19.09	0.075
Dependent	520.78	22.74	0.044
Type of aid received			
C-B Only	96.74	12.76	0.132
Pell and C-B	255.85	19.87	0.078
C-B and GSL	212.61	23.76	0.112
Pell, C-B and GSL	210.40	15.74	0.075

Table K-3. Estimated sampling errors for mean error per recipient with C-B distributional error: Student error, $50 tolerance

Category	Estimate	Standard error	Coefficient of variation
All recipients	$164.66	$38.41	0.233
Type and control of institution			
2-year public	$133.85	$109.84	0.821
4-year public	$193.25	$55.22	0.286
2-year private	-$7.74	$207.82	26.857
4-year private	$182.95	$75.42	0.412
Proprietary	-$67.66	$270.77	4.002
Dependency status			
Independent	$228.26	$75.31	0.330
Dependent	$133.53	$44.15	0.331
Type of aid received			
C-B Only	$308.66	$92.33	0.299
Pell and C-B	$123.11	$73.23	0.595
C-B and GSL	$307.28	$73.53	0.239
Pell, C-B and GSL	$4.85	$59.01	12.173

Table L-1. Estimated sampling errors for total C-B distributional error: Institutional error, $50 tolerance

Category	Estimate ($millions)	Standard error ($millions)	Coefficient of variation
All recipients	$43.95	$18.81	0.428
Type and control of institution			
2-year public	$3.43	$7.93	2.310
4-year public	$9.90	$11.40	1.153
2-year private	$0.20	$2.31	11.457
4-year private	$34.33	$13.06	0.380
Proprietary	-$3.91	$2.74	0.703
Dependency status			
Independent	$7.79	$9.32	1.196
Dependent	$36.17	$15.30	0.423
Type of aid received			
C-B Only	$21.76	$6.66	0.306
Pell and C-B	-$10.05	$11.37	1.131
C-B and GSL	$37.02	$12.82	0.346
Pell, C-B and GSL	-$4.77	$7.89	1.652

Table L-2. Estimated sampling errors for number of recipients with C-B distributional error: Institutional error, $50 tolerance

Category	Estimate (thousands)	Standard error (thousands)	Coefficient of variation
All recipients	350.43	22.53	0.064
Type and control of institution			
2-year public	75.51	15.79	0.209
4-year public	153.26	19.00	0.124
2-year private	7.56	3.79	0.502
4-year private	95.40	14.80	0.155
Proprietary	18.70	6.84	0.366
Dependency status			
Independent	131.49	12.87	0.098
Dependent	218.94	16.20	0.074
Type of aid received			
C-B Only	32.20	7.34	0.228
Pell and C-B	145.55	13.66	0.094
C-B and GSL	56.71	9.80	0.173
Pell, C-B and GSL	115.97	13.49	0.116

Table L-3. Estimated sampling errors for mean error per recipient with C-B distributional error: Institutional error, $50 tolerance

Category	Estimate	Standard error	Coefficient of variation
All recipients	$125.43	$55.19	0.440
Type and control of institution			
2-year public	$45.46	$107.65	2.368
4-year public	$64.57	$76.39	1.183
2-year private	$26.65	$384.64	14.434
4-year private	$359.85	$140.06	0.389
Proprietary	-$208.88	$173.88	0.832
Dependency status			
Independent	$59.23	$71.31	1.204
Dependent	$165.19	$70.42	0.426
Type of aid received			
C-B Only	$675.59	$153.26	0.227
Pell and C-B	-$69.05	$73.95	1.071
C-B and GSL	$652.87	$185.20	0.284
Pell, C-B and GSL	-$41.17	$66.60	1.617

Table M-1. Estimated sampling errors for total GSL payment error: Overall error, $50 tolerance

Category	Estimate* ($millions)	Standard error* ($millions)	Coefficient of variation
All recipients	$951.05	$134.61	0.142
Type and control of institution			
2-year public	$33.07	$14.78	0.447
4-year public	$395.59	$89.56	0.226
2-year private	$11.02	$7.08	0.643
4-year private	$416.77	$118.66	0.285
Proprietary	$94.60	$50.30	0.532
Dependency status			
Independent	$202.29	$89.02	0.440
Dependent	$748.76	$100.69	0.135
Type of aid received			
GSL Only	$702.15	$121.25	0.173
Pell and GSL	$71.82	$17.00	0.237
C-B and GSL	$142.17	$31.76	0.223
Pell, C-B and GSL	$34.91	$5.59	0.160

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* Due to a revision in the estimate of total GSL loan volume, these figures should be reduced by approximately 10 percent.

Table M-2. Estimated sampling errors for number of recipients with GSL payment error: Overall error, $50 tolerance

Category	Estimate* (thousands)	Standard error* (thousands)	Coefficient of variation
All recipients	721.14	67.64	0.094
Type and control of institution			
2-year public	51.42	26.31	0.512
4-year public	370.29	73.20	0.198
2-year private	14.36	10.21	0.711
4-year private	233.28	42.98	0.184
Proprietary	51.80	22.58	0.436
Dependency status			
Independent	104.88	25.52	0.243
Dependent	616.27	66.63	0.108
Type of aid received			
GSL Only	495.33	60.60	0.122
Pell and GSL	71.32	13.79	0.193
C-B and GSL	100.75	17.30	0.172
Pell, C-B and GSL	53.74	7.75	0.144

* Due to a revision in the estimate of total GSL loan volume, these figures should be reduced by approximately 10 percent.

Table M-3. Estimated sampling errors for mean error per recipient with GSL payment error: Overall error, $50 tolerance

Category	Estimate	Standard error	Coefficient of variation
All recipients	$1,318.81	$140.52	0.107
Type and control of institution			
2-year public	$643.15	$140.96	0.219
4-year public	$1,068.32	$116.70	0.109
2-year private	$767.37	$370.94	0.483
4-year private	$1,786.62	$364.86	0.204
Proprietary	$1,826.24	$500.29	0.274
Dependency status			
Independent	$1,928.85	$619.99	0.321
Dependent	$1,214.99	$101.37	0.083
Type of aid received			
GSL Only	$1,417.54	$193.47	0.137
Pell and GSL	$1,006.95	$147.14	0.146
C-B and GSL	$1,411.11	$171.56	0.122
Pell, C-B and GSL	$649.58	$72.04	0.111

Table N-1. Estimated sampling errors for total GSL payment error: Student error, $50 tolerance

Category	Estimate* ($millions)	Standard error* ($millions)	Coefficient of variation
All recipients	$393.52	$94.22	0.239
Type and control of institution			
2-year public	$16.17	$9.13	0.565
4-year public	$116.74	$40.81	0.350
2-year private	$10.56	$7.00	0.663
4-year private	$194.31	$77.49	0.399
Proprietary	$55.75	$36.68	0.658
Dependency status			
Independent	$66.60	$67.12	1.008
Dependent	$326.92	$61.59	0.188
Type of aid received			
GSL Only	$277.94	$79.48	0.286
Pell and GSL	$14.02	$7.64	0.545
C-B and GSL	$94.18	$26.42	0.281
Pell, C-B and GSL	$7.37	$2.99	0.405

* Due to a revision in the estimate of total GSL loan volume, these figures should be reduced by approximately 10 percent.

Table N-2. Estimated sampling errors for number of recipients with GSL payment error: Student error, $50 tolerance

Category	Estimate * (thousands)	Standard error* (thousands)	Coefficient of variation
All recipients	369.42	54.64	0.148
Type and control of institution			
2-year public	19.39	12.27	0.633
4-year public	140.37	44.00	0.314
2-year private	14.36	10.21	0.711
4-year private	151.40	32.40	0.214
Proprietary	43.90	20.98	0.478
Dependency status			
Independent	16.06	13.52	0.842
Dependent	353.36	54.82	0.155
Type of aid received			
GSL Only	259.67	49.70	0.191
Pell and GSL	14.49	6.31	0.435
C-B and GSL	82.40	16.57	0.201
Pell, C-B and GSL	12.86	3.54	0.275

* Due to a revision in the estimate of total GSL loan volume, these figures should be reduced by approximately 10 percent.

Table N-3. Estimated sampling errors for mean error per recipient with GSL payment error: Student error, $50 tolerance

Category	Estimate	Standard error	Coefficient of variation
All recipients	$1,065.24	$207.68	0.195
Type and control of institution			
2-year public	$833.99	$398.03	0.477
4-year public	$831.62	$212.98	0.256
2-year private	$735.32	$364.85	0.496
4-year private	$1,283.41	$468.98	0.365
Proprietary	$1,269.89	$631.96	0.498
Dependency status			
Independent	$4,147.88	$2,295.20	0.553
Dependent	$925.17	$116.01	0.125
Type of aid received			
GSL Only	$1,070.34	$270.50	0.253
Pell and GSL	$968.19	$501.58	0.518
C-B and GSL	$1,142.98	$182.14	0.159
Pell, C-B and GSL	$573.46	$191.18	0.333

Table O-1. Estimated sampling errors for total GSL payment error:
Institutional error, $50 tolerance

Category	Estimate * ($millions)	Standard error* ($millions)	Coefficient of variation
All recipients	$627.56	$106.20	0.169
Type and control of institution			
2-year public	$29.68	$8.52	0.287
4-year public	$318.57	$83.09	0.261
2-year private	$0.46	$0.48	1.049
4-year private	$239.92	$88.80	0.370
Proprietary	$38.93	$26.25	0.674
Dependency status			
Independent	$139.58	$63.46	0.455
Dependent	$487.98	$85.01	0.174
Type of aid received			
GSL Only	$467.73	$100.63	0.215
Pell and GSL	$71.57	$15.38	0.215
C-B and GSL	$56.33	$14.41	0.256
Pell, C-B and GSL	$31.94	$4.46	0.140

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* Due to a revision in the estimate of total GSL loan volume, these figures should be reduced by approximately 10 percent.

Table O-2. Estimated sampling errors for number of recipients with GSL payment error: Institutional error, $50 tolerance

Category	Estimate* (thousands)	Standard error* (thousands)	Coefficient of variation
All recipients	490.15	70.40	0.144
Type and control of institution			
2-year public	49.19	16.53	0.336
4-year public	270.52	61.23	0.226
2-year private	1.88	1.97	1.049
4-year private	147.32	39.47	0.268
Proprietary	21.24	14.96	0.704
Dependency status			
Independent	90.35	22.63	0.250
Dependent	399.80	63.78	0.160
Type of aid received			
GSL Only	322.77	62.75	0.194
Pell and GSL	67.65	12.57	0.186
C-B and GSL	52.55	10.63	0.202
Pell, C-B and GSL	47.18	7.29	0.155

* Due to a revision in the estimate of total GSL loan volume, these figures should be reduced by approximately 10 percent.

Table O-3. Estimated sampling errors for mean error per recipient with GSL payment error: Institutional error, $50 tolerance

Category	Estimate	Standard error	Coefficient of variation
All recipients	$1,280.34	$137.18	0.107
Type and control of institution			
2-year public	$603.45	$101.96	0.169
4-year public	$1,177.61	$115.26	0.098
2-year private	$244.50	$0.00	0.000
4-year private	$1,628.53	$403.21	0.248
Proprietary	$1,833.12	$423.97	0.231
Dependency status			
Independent	$1,544.98	$537.22	0.348
Dependent	$1,220.54	$101.57	0.083
Type of aid received			
GSL Only	$1,449.09	$203.01	0.140
Pell and GSL	$1,057.85	$144.07	0.136
C-B and GSL	$1,071.92	$217.38	0.203
Pell, C-B and GSL	$676.97	$65.18	0.096

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U.S. DEPARTMENT OF EDUCATION

TITLE IV QUALITY CONTROL PROJECT

CONTRACT NO: 300-84-0020

STAGE TWO
VOLUME III
PROCEDURES AND METHODS
APPENDIX D
DATA COLLECTION MATERIAL

Advanced
Technology

APPENDIX D

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UNITED STATES DEPARTMENT OF EDUCATION
OFFICE OF THE ASSISTANT SECRETARY FOR POSTSECONDARY EDUCATION

STUDENT
FINANCIAL ASSISTANCE
PROGRAMS

December 9, 1985

Dear President:

The Office of Postsecondary Education of the Department of Education is conducting a quality control study of the Pell Grant and Campus-Based student financial aid programs and the Guaranteed Student Loan application certification process. The purpose of the study is to determine the amount and type of errors being made in implementing these programs, and the probable causes of errors. The study will enable the Department of Education to take corrective actions to eliminate or reduce these errors. More detailed information on this study can be found in the enclosed "Project Summary."

Your institution has been randomly selected to participate in the study, and we need specific information from your financial aid administrator for the study to be successful. A representative from Advanced Technology, Inc., a research firm located near Washington, D.C., will be contacting your financial aid administrator in a few weeks to schedule a visit, which will last from 1 to 2 days, and will include an interview with him or her. Although your financial aid administrator's participation in an interview is voluntary, we hope you will urge him or her to participate since the results of this study will be used to improve the delivery of student financial assistance.

The interviewer will also verify certain information from a sample of approximately 10 students' financial aid files, such as recipient income and assets, and may need to consult with staff from other offices which are part of the financial aid process, such as the registrar or bursar. Access to your student records is authorized under the Department of Education regulations implementing the Title IV programs, 34 CFR 668.12(c)(3). However, since this is a national study, individual institutions will not be identified in any reports, nor will institutional data be sufficient to make generalizations about individual schools in the study.

This study is being conducted according to the regulations of the Privacy Act and Title IV of the Higher Education Act of 1965. The interviewer has signed a confidentiality statement under which he or she has sworn not to reveal to anyone not connected with this study the

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information obtained. If you have any questions about the study or the institutional visit, please contact the Advanced Technology, Inc., representative. The toll-free telephone number, on the Sprint system, is 627-2914.

Thank you in advance for your assistance and cooperation.

Sincerely,

Kenneth D. Whitehead
for C. Ronald Kimberling
Acting Assistant Secretary

Enclosure

UNITED STATES DEPARTMENT OF EDUCATION
OFFICE OF THE ASSISTANT SECRETARY FOR POSTSECONDARY EDUCATION

STUDENT
FINANCIAL ASSISTANCE
PROGRAMS

December 9, 1985

Dear Financial Aid Officer:

The Office of Postsecondary Education of the Department of Education is conducting a study of the Pell Grant and Campus-Based student financial aid programs and the Guaranteed Student Loan application certification process. The purpose of the study is to determine the amount and type of errors being made in implementing these programs, and the probable causes of errors. The study will enable the Department of Education to take corrective actions to eliminate or reduce these errors. More detailed information on this study can be found in the enclosed "Project Summary."

Your institution has been randomly selected to participate in the study, and we need specific information from you for the study to be successful. A representative from Advanced Technology, Inc., a research firm located near Washington, D.C., will be contacting you in early January to schedule a visit, which will last 1 to 2 days, and will incude an interview with you. Although your participation in the interview is voluntary, we urge you to participate since the results of this study will be used to improve the delivery of student financial assistance. When the interviewer calls you, we would like to collect some preliminary information about the number of recipients in each program at your institution. We will need an unduplicated count of recipients in the Campus-Based programs (NDSL, SEOG, and CW-S), a count of Pell Grant recipients and a count of students certified to receive Guaranteed Student Loans.

Your interviewer will also arrange to verify certain information from a sample of approximately 10 students' files, such as recipient income and assets, and may need to consult with staff from other offices which

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are a part of the financial aid process, such as the registrar or bursar. The enclosed page lists what information will be needed when we call to schedule the visit, as well as items the interviewer will need to obtain at the time of the visit.

Access to your student records is authorized under Department of Education regulations implementing the Title IV programs, 34 CFR 668.12(c)(3). However, since this is a national study, individual institutions will not be identified in any reports, nor will institutional data be sufficient to make generalizations about individual schools in the study.

This study is being conducted according to the regulations of the Privacy Act and Title IV of the Higher Education Act of 1965. The interviewer has signed a confidentiality statement under which he or she has sworn not to reveal to anyone not connected with this study any information you provide. If you have any questions about the study or the institutional visit, please contact the Advanced Technology, Inc., representative. The toll-free telephone number, on the Sprint system is 627-2914.

Thank you in advance for your assistance and cooperation.

Sincerely,

Ernst Becker

Ernst Becker, Director
Division of Quality Assurance

Enclosures

PROJECT SUMMARY

TITLE IV QUALITY CONTROL PROJECT

STAGE II: AN INTEGRATED PROJECT

Background

The Title IV Student Financial Assistance programs have grown dramatically in both dollar volume and student participation during the past decade. With this rapid growth has come the potential for errors in student application information, student eligibility certification, award calculations, and other program procedures. The Department of Education is increasingly aware of the need to reduce these errors and to improve performance in all Federal student assistance programs. The Department is committed to ensuring that these programs operate efficiently and that funds are allocated properly.

Project Objectives and Activities

The two stages of the Title IV Quality Control Project are designed to measure the degree to which errors exist in the delivery of all five major sources of student aid, identify causes of error, recommend management corrective actions, and provide technical assistance and follow-up analysis. Stage I was a pilot study to determine the feasibility of measuring error in the Campus-Based programs and the Guaranteed Student Loan (GSL) certification process. Included in the pilot were the National Direct Student Loan (NDSL), Supplemental Educational Opportunity Grant (SEOG), and College Work-Study (CWS) programs, known as the "Campus-Based" programs, and the Guaranteed Student Loan program. In Stage II the scope has been expanded to include all five major Title IV student assistance programs by adding the Pell Grant program.

The primary activities conducted during Stage I (1984) included the following:

- The 1983-84 program-wide error rates by number of cases and amount of dollars for the Campus-Based and GSL programs were documented, computed, and analyzed.
- Institutional compliance with Federal legislation and regulations, school-specific packaging philosophies, need analysis principles, and other school administrative policies and procedures were documented and analyzed.
- The major types of program errors were identified and analyzed.
- The effectiveness of quality control procedures and corrective actions which had already been implemented to reduce or prevent error was evaluated.
- Recommendations were developed for management actions to correct each of the major errors identified.

These activities were based on data gathered through a nationwide survey of 820 students and their parents, and 281 postsecondary institutions in the spring of 1984. Trained interviewers visited a random, representative sample of public, private, and proprietary institutions. At each institution, the interviewer selected a random sample of Campus-Based and GSL recipients and reviewed their financial aid records. The financial aid administrator was also interviewed and asked to describe the institution's student aid awarding procedures. Another group of experienced interviewers visited the students who were selected, and their parents, and asked them to supply documents verifying the information that appeared on their application forms.

Findings from Stage I suggest that error can be quantified and is significant in the Campus-Based program and GSL certification process. Based on these findings, a broader effort will be undertaken in Stage II to more precisely define and measure error, and obtain a more comprehensive understanding of Pell, Campus-Based, and GSL program error. In Stage II, the 1985-86 program-wide error rate for the five programs will be measured, probable causes for major types of error will be identified, and recommendations for corrective actions will be developed. In particular, the Pell error rate will be remeasured to determine the effectiveness of recently expanded validation requirements. Stage II will also evaluate the effectiveness of other institutional quality control procedures in reducing payment error.

Stage II methodology will be the same as in Stage I: a representative sample (about 300) institutions will be visited; student record information collected; financial aid administrators interviewed; and students (about 3,000) and their parents asked to provide documents verifying their application information.

Project Contractor

The Office of Student Financial Assistance awarded the Title IV Quality Control Project contract in January 1984 to Advanced Technology, Inc., of Reston, Virginia, and its subcontractor, Westat, Inc., of Rockville, Maryland. Interviewers who visit institutions are employees of Advanced Technology; interviewers who visit students and their parents are employees of Westat. Ms. Carol Miller of Advanced Technology is the project director. Mr. Robert Learmonth is the project team leader for Westat.

Sponsoring Agency

The Title IV Quality Control Project is sponsored by the Statistical Analysis Branch of the Division of Quality Assurance, Debt Collection and Management Assistance Service, U.S. Department of Education. Dr. David Iwamoto is the chief of the Statistical Analysis Branch, and Mr. Ernst Becker is the director of the Division of Quality Assurance.

Additional information may be obtained from Ms. Karen Chauvin, project officer for the Statistical Analysis Branch, Division of Quality Assurance at (202) 245-0102.

ID#	SCHOOL NAME	DATE	# DAYS	DC NAME	COMMENTS
05-04	BRICK COMPUTER SCIENCE INSTITUTE		2		
15-06	GRANT HOSP SCH OF NURSING				OUT OF BUSINESS
09-03	SPECIAL TRAINING OPPORTUNITY PRGM				NON LOCATABLE
16-04	HI-FASHION BEAUTY COLLEGE				NON LOCATABLE
06-11	WASHINGTON HOSP CTR SCH OF NURSING				OUT OF BUSINESS
04-07	SCHUYLER-CHEMUNG-TIOGA SCH PRAC NUR				NON LOCATABLE
05-02	PRINCETON MED CTR SCH OF MED-TECH				OUT OF ~~SAMPLE~~ BUSINESS
10-10	ST FIDELIS COLLEGE				OUT OF BUSINESS
25-16	CRAFTON HILL COLLEGE				OUT OF SAMPLE
19-09	RICH & JOES ART SCH OF HAIR DESIGN				OUT OF BUSINESS
01-11	KODALY MUSICAL TRAINING INSTITUTE				NON LOCATABLE
19-07	EAST TEXAS BAPTIST COLLEGE	2/10	2	BARNES	
19-06	LETOURNEAU COLLEGE*	2/12	2	BARNES	
19-08	KILGORE COLLEGE	2/17	2	BARNES	
19-04	NORTH TEXAS STATE UNIVERSITY	2/19	3	BARNES	
19-03	UNIV OF HAIR DESIGN	2/24	2	BARNES	
19-05	COOKE COUNTY COLLEGE	2/26	2	BARNES	
19-02	VOGUE BEAUTY COLLEGE #5&11	2/28	4	BARNES	COMBINED VISIT
22-01	VOGUE BEAUTY COLLEGE #11	3/03	2	BARNES	
19-01	WESTERN OKLAHOMA AREA VOC TECH CTR	3/06	2	BARNES	
19-12	UNITED TECHNICAL INSTITUTE	3/13	2	BARNES	
19-10	ROGERS STATE COLLEGE	3/17	2	BARNES	
19-13	SOUTH OKLAHOMA CITY JR COLLEGE	3/20	2	BARNES	
24-05	GOLDEN GATE UNIVERSITY	2/10	2	BARON	
24-03	SAN FRANCISCO COL OF MORTUARY SCI	2/12	1	BARON	
24-06	SAN FRANCISCO CMTY CLG CENTERS	2/18	2	BARON	
24-07	ACADEMY OF STENOGRAPHIC ARTS*	2/20	2	BARON	
24-08	SAN JOSE STATE UNIVERSITY	2/24	2	BARON	
[redacted]	[redacted]	[redacted]	[redacted]	[redacted]	
24-10	UNIVERSITY OF THE PACIFIC	3/03	2	BARON	
24-12	CONTRA COSTA COLLEGE	3/05	1	BARON	
24-04	COGSWELL COLLEGE	3/06	2	BARON	
24-01	SANTA ROSA JUNIOR COLLEGE	3/10	2	BARON	
24-02	AMERICAN RIVER COLLEGE	3/12	3	BARON	
25-02	VENTURA COUNTY COMMUNITY DISTRICT	3/17	3	BARON	
25-01	SAWYER COLLEGE AT VENTURA	3/20	2	BARON	
21-09	KANSAS STATE UNIVERSITY	2/24	5	BUSHAW	
17-12	MONTANA STATE UNIVERSITY	3/11	4	BUSHAW	
17-11	CARROLL COLLEGE	3/17	2	BUSHAW	
23-11	COLLEGE OF THE REDWOODS	~~3/19~~	2	Baron BUSHAW	
10-11	BUTLER COUNTY COMMUNITY COLLEGE	2/17	2	BUSSE	
10-08	SHENANGO VALLEY SCHOOL OF BUSINESS	2/19	2	BUSSE	
07-04	HOLLINS COLLEGE	3/03	2	BUSSE	
10-12	UNIVERSITY OF PITT-MAIN	3/10	5	BUSSE	
25-06	SOUTHERN CALIFORNIA SCHOOL OF THEOL		2	CHRISTENSEN	
25-10	LOS ANGELES CLG OF CHIROPRACTIC	2/10	2	CHRISTENSEN	
25-11	RIO HONDO COLLEGE	2/12	2	CHRISTENSEN	
25-17	CYPRESS COLLEGE	2/18	1	CHRISTENSEN	
25-12	UNIVERSITY OF CALIFORNIA-LA*	2/19	3	CHRISTENSEN	
25-04	ST JOHNS SEMINARY	2/25	1	CHRISTENSEN	
25-08	POMONA COLLEGE	2/26	2	CHRISTENSEN	

ID#	SCHOOL NAME	DATE	# DAYS	DC NAME	COMMENTS
25-09	CERRITOS COLLEGE	2/28	1	CHRISTENSEN	
25-15	SAN BERNARDINO VALLEY COLLEGE	3/03	2	CHRISTENSEN	
25-14	SAN BERNARDINO CTY MED CTR MED TECH	3/05	1	CHRISTENSEN	
25-03	ANTELOPE VALLEY COLLEGE	3/06	1	CHRISTENSEN	
25-05	PITZER COLLEGE	3/10	2	CHRISTENSEN	
25-13	VICTOR VALLEY BEAUTY COLLEGE	3/13	2	CHRISTENSEN	
25-18	SAN DIEGO STATE UNIVERSITY	3/17	5	CHRISTENSEN	
25-19	US INTERNATIONAL UNIVERSITY	3/25	2	CHRISTENSEN	
25-07	CLAREMONT MCKENNA COLLEGE	3/27	2	CHRISTENSEN	
06-06	UNIVERSITY DISTRICT OF COLUMBIA*	2/11	2	C.SMITH	
06-12	GEORGE MASON UNIVERSITY	2/13	2	C.SMITH	
05-05	URSINUS COLLEGE	3/12	2	C.SMITH	
04-09	MOHAWK VALLEY COMMUNITY CLG	3/19	2	C.SMITH	
02-01	UNIVERSITY OF CONNECTICUT-STORRS	2/10	3	FARRELL	
02-06	UNIVERSITY OF BRIDGEPORT	2/13	2	FARRELL	
02-04	YALE UNIVERSITY*	2/17	3	FARRELL	
02-05	COUNTY SCHOOLS HOME STUDY	2/20	2	FARRELL	
02-02	BRYANT COLLEGE	2/24	2	FARRELL	
02-03	BROWN UNIVERSITY	2/26	2	FARRELL	
02-09	PACE UNIVERSITY	3/03	2	FARRELL	
02-10	SUNY COLLEGE-PURCHASE	3/05	2	FARRELL	
02-12	RUTGERS-STATE UNIV NEW JERSEY	3/12	3	FARRELL	
02-11	MONTCLAIR STATE COLLEGE	3/17	3	FARRELL	
02-08	MERCY COLLEGE	3/20	2	FARRELL	
04-11	LEMOYNE COLLEGE	3/24	2	FARRELL	
04-01	SUNY COLLEGE-BROCKPORT	3/26	3	FARRELL	
18-08	CONCORDIA COLLEGE	2/10	2	FLOYD	
18-07	UNIVERSITY OF WISC-CTRL SYSTEM	2/12	3	FLOYD	
18-13	MADISON AREA TECHNICAL COLLEGE	2/17	2	FLOYD	
18-06	UNIVERSITY OF WISC-MADISON*	2/19	2	FLOYD	
18-09	MARIAN COLLEGE OF FOND DU LAC	2/24	2	FLOYD	
18-10	UNIVERSITY OF WISC-OSHKOSH	2/26	3	FLOYD	
18-11	LAKESHORE BD-VOC/TECH-ADULT EDUC	3/03	2	FLOYD	
18-12	UNIVERSITY OF WISC-STEVENS POINT	3/05	3	FLOYD	
18-05	SOUTHWEST WISCONSIN VOC TECH INST	3/10	2	FLOYD	
18-04	UNIVERSITY OF WISC-PLATTEVILLE	3/12	2	FLOYD	
18-03	KIRKWOOD COMMUNITY COLLEGE	3/17	2	FLOYD	
18-01	IOWA STATE UNIV OF SCIENCE & TECH	3/19	3	FLOYD	
18-02	SIMPSON COLLEGE	3/24	2	Buchanan ~~FLOYD~~	
09-02	BROWARD COMMUNITY COLLEGE	2/10	2	FREEDMAN	
09-04	PALM BEACH JR COLLEGE	2/13	2	FREEDMAN	
09-05	INDIAN RIVER COMMUNITY COLLEGE	2/17	1	FREEDMAN	
09-07	UNIVERSITY OF FLORIDA*	2/19	3	FREEDMAN	
09-06	SANTA FE COMMUNITY COLLEGE	2/24	2	FREEDMAN	
09-09	FLORIDA A & M UNIVERSITY	2/27	2	FREEDMAN	
09-08	FLORIDA STATE UNIVERSITY	3/03	2	FREEDMAN	
09-10	THOMAS AREA TECHNICAL SCH	3/06	2	FREEDMAN	
09-11	ABRAHAM BALDWIN AGRICULTURAL CLG	3/10	3	FREEDMAN	
09-12	BEN HILL-IRWIN AREA VOC TECH	3/13	2	FREEDMAN	
09-01	MIAMI DADE COMMUNITY COLLEGE	3/17	5	FREEDMAN	
14-03	JACKSONVILLE STATE UNIVERSITY	3/26	3	FREEDMAN	

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ID#	SCHOOL NAME	DATE	# DAYS	DC NAME	COMMENTS
14-04	AUBURN UNIVERSITY	3/31	3	FREEDMAN	
14-05	AUBURN UNIVERSITY-MONTGOMERY	4/03	2	FREEDMAN	
20-01	AUSTIN COMMUNITY COLLEGE*	2/10	2	GAMBLE	
20-13	UNIV OF HOUSTON/DOWNTOWN CLG	2/13	2	GAMBLE	
20-03	PAN AMERICAN UNIVERSITY	2/18	2	GAMBLE	
20-05	SOUTH TEXAS VOCATIONAL TECH INST	2/20	2	GAMBLE	
20-04	TEXAS STATE TECH INST-RIO GRANDE	2/24	2	GAMBLE	
20-02	TEXAS A & I UNIV	2/26	2	GAMBLE	
20-08	SOUTHERN TECHNICAL CLG OF LAFAYETTE	3/03	2	GAMBLE	
20-09	UNIVERSITY SOUTHWESTERN LA	3/05	3	GAMBLE	
20-10	SOUTHERN UNIVERSITY A & M COLLEGE	3/10	3	GAMBLE	
20-11	SOUTHEASTERN LOUISIANA UNIV	3/13	2	GAMBLE	
20-12	BIGGERS SCH COURT RPT/SECRETAR SCI	3/17	1	GAMBLE	
20-06	MASSEY BUSINESS COLLEGE	3/20	2	GAMBLE	
12-06	UNIVERSITY OF DAYTON	2/10	2	GILMOUR	
12-05	MIAMI UNIVERSITY*	2/12	2	GILMOUR	
12-01	INDIANA CENTRAL UNIVERSITY	2/17	2	GILMOUR	
12-02	J. EVERETT LIGHT CAREER CENTER	2/19	2	GILMOUR	
12-03	ITT TECHNICAL INST-INDIANAPOLIS	2/24	3	GILMOUR	
12-10	UNIVERSITY OF KENTUCKY	3/03	3	GILMOUR	
12-12	EASTERN KENTUCKY UNIVERSITY	3/06	2	GILMOUR	
12-11	CENTRAL KENTUCKY STATE VOC TECH	3/10	2	GILMOUR	
12-09	SHAWNEE STATE COMMUNITY COLLEGE	3/13	2	GILMOUR	
12-08	MARIETTA COLLEGE	3/17	2	GILMOUR	
12-07	OHIO UNIVERSITY	3/19	3	GILMOUR	
08-14	AMERICAN COLLEGE FOR APPLIED ARTS	2/19	1	GOLDSMITH	
08-15	CHATTANOOGA STATE TECH COM CLG	2/20	2	GOLDSMITH	
11-06	WELDTECH WELDING EDUCATION CENTER*	2/12	2	HOYT	
11-07	HIGHLAND PARK COMMUNITY COLLEGE	2/17	2	HOYT	
11-08	OAKLAND COMMUNITY COLLEGE	2/19	2	HOYT	
11-09	UNIVERSITY OF MICHIGAN	2/24	2	HOYT	
11-10	ALBION COLLEGE	2/27	2	HOYT	
11-04	BAKER JUNIOR COLLEGE OF BUSINESS	3/04	2	HOYT	
11-03	SAGINAW BUSINESS INSTITUTE	3/06	2	HOYT	
11-02	NORTHWOOD INSTITUTE	3/10	2	HOYT	
11-01	KIRTLAND COMMUNITY COLLEGE	3/12	2	HOYT	
11-12	CALVIN COLLEGE	3/17	3	HOYT	
11-11	GRAND RAPIDS SCH-BIBLE & MUSIC	3/20	2	HOYT	
15-07	UNIV ILLINOIS-CHICAGO CIRCLE CAMPUS	2/10	2	JACKSON	
17-05	BRAINERD COMMUNITY COLLEGE	2/13	2	JACKSON	
15-10	MORAINE VALLEY COMMUNITY COLLEGE*	2/18	2	JACKSON	
15-13	DOREE SCHOOL OF BEAUTY CULTURE	2/20	2	JACKSON	
15-12	DEVRY INSTITUTE OF TECHNOLOGY	2/25	2	JACKSON	
15-11	ILLINOIS INSTITUTE OF TECH	2/26	2	JACKSON	
15-04	NATIONAL COLLEGE OF EDUCATION	3/03	2	JACKSON	
15-05	NORTHWESTERN UNIV	3/05	2	JACKSON	
15-03	ST FRANCIS HOSP SCH OF NURSING	3/07	1	JACKSON	
15-02	UNIVERSITY OF WISC-PARKSIDE	3/10	2	JACKSON	
15-01	GATEWAY TECHNICAL INSTITUTE	3/12	2	JACKSON	
15-08	CITY COLLEGE OF CHICAGO	3/17	3	JACKSON	
15-09	TRINITY CHRISTIAN COLLEGE	3/20	2	JACKSON	

ID#	SCHOOL NAME	DATE	# DAYS	DC NAME	COMMENTS
14-07	NORTHWEST MISSISSIPPI JR CLG	[illegible]	2	JACKSON	
14-06	PHILLIPS COUNTY COMMUNITY COLLEGE	3/26	2	JACKSON	
14-09	BLUE MOUNTAIN COLLEGE	3/31	2	JACKSON	
14-08	RUST COLLEGE	[illegible]	2	JACKSON	
05-09	UNIVERSITY OF PENNSYLVANIA*	2/10	3	JAMES	
05-10	PHILADELPHIA CLG-PHARMACY & SCIENCE	2/13	2	JAMES	
05-13	CAMDEN COUNTY COLLEGE	2/17	2	JAMES	
05-12	P B METHOD OF HAIR DESIGN	2/19	2	JAMES	
05-14	GLASSBORO STATE COLLEGE	2/24	3	JAMES	
14-14	PHILLIPS COLLEGE	2/27	2	JAMES	
05-07	VALLEY FORGE CHRISTIAN COLLEGE	3/17	2	JAMES	
05-06	MONTGOMERY COUNTY COMMUNITY COLLEGE	3/19	2	JAMES	
05-08	GORDON PHILLIPS SCH OF BTY CULTURE	3/21	1	JAMES	
17-04	FERGUS FALLS ST HOSP CHEM DEP CTP	2/21	1	JOHNSON	
17-02	MOORHEAD STATE UNIVERSITY	2/24	3	JOHNSON	
04-02	SUNY AT BUFFALO	~~2/24~~ 3/25	3	JOHNSON	
04-12	ERIE COMMUNITY COLLEGE-NORTH CAMPUS	~~[illegible]~~ 3/24	2	JOHNSON	
17-01	CONCORDIA COLLEGE-MOORHEAD	2/27	2	JOHNSON	
17-06	UNIVERSITY OF MINN-MINNEAPOLIS	3/03	4	JOHNSON	
17-07	ST OLAF COLLEGE	3/10	2	JOHNSON	
17-08	GOGEBIC COMMUNITY COLLEGE	3/13	2	JOHNSON	
17-10	NORTHERN MICHIGAN UNIVERSITY	3/17	3	JOHNSON	
17-09	SUOMI COLLEGE	3/20	2	JOHNSON	
03-03	NASSAU COMMUNITY COLLEGE	2/10	2	J.SMITH	
04-14	COMMUNITY CLG OF FINGER LAKES	2/12	2	J.SMITH	
03-12	GENERAL THEOLOGICAL SEMINARY*	2/14	1	J.SMITH	
03-04	CITY UNIV OF NEW YORK-CENTRAL	2/17	7	J.SMITH	
03-02	ADELPHI UNIVERSITY	2/26	2	J.SMITH	
03-09	TEACHERS COLLEGE-COLUMBIA UNIV	3/03	2	J.SMITH	
03-01	STEVENS INSTITUTE OF TECHNOLOGY	3/06	2	J.SMITH	
03-07	COMMERCIAL PROGRAMMING UNLIMITED	3/10	1	J.SMITH	
03-10	ST JOHN'S UNIVERSITY	3/11	2	J.SMITH	
03-05	MANHATTAN TECHNICAL INSTITUTE	3/13	2	J.SMITH	
03-06	ROYAL BUSINESS SCHOOL	3/17	2	J.SMITH	
03-08	COLUMBIA UNIVERSITY	3/19	3	J.SMITH	
10-03	HEIDELBERG COLLEGE*	2/10	2	KINSEL	
10-05	MANSFIELD BUSINESS COLLEGE	2/13	2	KINSEL	
11-05	MERCY COLLEGE OF DETROIT	2/17	2	KINSEL	
17-03	DETROIT LAKES AREA VOC TECH INST	2/19	2	KINSEL	
10-01	CLEVELAND INSTITUTE OF ART	2/24	2	KINSEL	
10-02	CASE WESTERN RESERVE UNIV	2/26	3	KINSEL	
10-09	SLIPPERY ROCK UNIVERSITY	3/03	3	KINSEL	
10-07	PA ACAD OF COSMTLGY ARTS & SCI	3/06	2	KINSEL	
04-06	STATE UNIVERSITY COLLEGE AT ONEONTA	3/11	2	KINSEL	
04-10	HERKIMER COUNTY COMMUNITY COLLEGE	3/13	2	KINSEL	
04-03	SUNY COLLG OF TECH	3/17	2	KINSEL	
10-06	INDIANA UNIVERSITY OF PENNSYLVANIA	3/19	3	KINSEL	
08-12	CLAFLIN COLLEGE	2/10	2	LANGLEY	
08-11	SOUTH CAROLINA STATE COLLEGE	2/12	2	LANGLEY	
08-08	FRANCIS MARION COLLEGE	2/17	2	LANGLEY	
08-10	MORRIS COLLEGE*	2/20	2	LANGLEY	

ID#	SCHOOL NAME	DATE	# DAYS	DC NAME	COMMENTS
08-13	MIDLANDS TECHNICAL COLLEGE	2/24	2	LANGLEY	
08-09	SOUTHEASTERN COMMUNITY COLLEGE	2/26	2	LANGLEY	
08-07	UNIVERSITY OF N C-WILMINGTON	3/03	2	LANGLEY	
08-04	SHAW UNIVERSITY	3/06	2	LANGLEY	
08-06	WAKE TECHNICAL COLLEGE	3/10	1	LANGLEY	
08-05	ST AUGUSTINES COLLEGE	3/11	2	LANGLEY	
08-03	WILKES COMMUNITY COLLEGE	3/1[illegible]	1	LANGLEY	
08-01	APPALACHIAN STATE UNIVERSITY	3/17	3	LANGLEY	
08-02	LEES MCRAE COLLEGE	3/20	2	LANGLEY	
01-08	GOR[illegible] LEGE	2/20	2	LEIBMAN	
05-01	PRI[illegible]NIVERSITY	3/03	3	LEIBMAN	
05-03	WESTMIN[illegible]R CHOIR COLLEGE	3/06	2	LEIBMAN	
01-14	BOSTON UNIVERSITY	3/24	3	LEIBMAN	
06-02	NORTHERN VA CMTY CLG*	2/24	2	MACK	
06-09	AMERICAN UNIVERSITY	2/27	2	MACK	
06-08	CATHOLIC UNIVERSITY OF AMERICA	3/03	2	MACK	
06-07	SOUTHEASTERN UNIVERSITY	3/05	2	MACK	
06-10	BENJAMIN FRANKLIN UNIVERSITY	3/31 ~~3/10~~	2	MACK	
06-05	COPPIN STATE COLLEGE	3/10	2	MACK	
06-03	JOHNS HOPKINS UNIVERSITY	3/12	2	MACK	
06-04	COMMUNITY COLLEGE OF BALTIMORE	3/19	3	MACK	
03-11	MTI BUSINESS SCHOOL	3/24	2	MACK	
04-13	KEUKA COLLEGE	3/26	2	MACK	
13-04	TENNESSEE STATE UNIVERSITY	2/12	3	RENSCHLER	
13-07	DAVID LIPSCOMB COLLEGE	2/17	2	RENSCHLER	
13-05	MIDDLE TENNESSEE STATE UNIV*	2/20	2	RENSCHLER	
13-12	JACKSON STATE COMMUNITY COLLEGE	2/24	2	RENSCHLER	
13-11	WEST TENNESSEE BUSINESS COLLEGE	2/26	2	RENSCHLER	
13-01	OWENSBORO AREA VOC EDUCATION CTR	3/03	1	RENSCHLER	
13-02	KENTUCKY WESLEYAN COLLEGE	3/04	2	RENSCHLER	
13-09	OAKLAND CITY COLLEGE	3/06	2	RENSCHLER	
14-12	HINDS JUNIOR COLLEGE	3/11	2	RENSCHLER	
07-07	JOHN TYLER COMMUNITY COLLEGE	2/10	2	ROSS	
07-06	ST PAULS COLLEGE	2/12	2	ROSS	
07-05	ROANOKE MEM HOSP SCH OF NURSING*	2/17	1	ROSS	
07-08	TIDEWATER COMMUNITY COLLEGE	2/20	2	ROSS	
07-02	NEW RIVER COMMUNITY COLLEGE	2/24	2	ROSS	
07-03	WYTHEVILLE COMMUNITY COLLEGE	2/26	2	ROSS	
04-05	SUNY AT BINGHAMTON	3/03	3	ROSS	
04-04	SUNY AGRICULTURAL & TECH COLLEGE	3/06	2	ROSS	
07-09	COMMONWEALTH COLLEGE	3/10	2	ROSS	
07-01	WEST VIRGINIA WESLEYAN COLLEGE	3/13	2	ROSS	
06-01	PENNSYLVANIA STATE UNIV	3/17	3	ROSS	
23-05	WHITMAN COLLEGE	2/11	2	STALLCOP	
23-06	WALLA WALLA COLLEGE	2/13	2	STALLCOP	
23-03	J M PERRY INSTITUTE*	2/18	2	STALLCOP	
23-04	YAKIMA VALLEY COLLEGE	2/20	2	STALLCOP	
23-08	PORTLAND COMMUNITY COLLEGE	2/24	3	STALLCOP	
23-07	LEWIS & CLARK COLLEGE	2/27	2	STALLCOP	
23-01	UNIVERSITY OF WASHINGTON	3/03	3	STALLCOP	
23-02	UNIVERSITY OF PUGET SOUND	3/06	2	STALLCOP	

ID#	SCHOOL NAME	DATE	# DAYS	DC NAME	COMMENTS
23-10	HUMBOLDT STATE UNIVERSITY	3/10	2	STALLCOP	
23-09	PHAGANS TIGARD BEAUTY SCHOOL	3/17	2	STALLCOP	
17-13	INTERNATIONAL INST OF HAIR DESIGN	3/21	1	STALLCOP	
22-11	TECHNICAL TRADES INSTITUTE	2/13	2	THOMPSON	
22-12	UNIVERSITY OF COLORADO*	2/17	2	THOMPSON	
22-09	MEMORIAL HOSP SCH OF RAD-TECH	2/19	1	THOMPSON	
22-08	COLORADO COLLEGE	2/20	2	THOMPSON	
22-10	PIKES PEAK COMMUNITY COLLEGE	2/24	2	THOMPSON	
22-02	NEW MEXICO HIGHLANDS UNIVERSITY	2/27		THOMPSON	
22-06	NEW MEXICO STATE UNIVERSITY	3/03	3	THOMPSON	
22-07	UNIVERSITY OF TEXAS-EL PASO	3/06	2	THOMPSON	
22-03	PHOENIX INSTITUTE OF TECHNOLOGY	3/10	2	THOMPSON	
22-04	SOUTH MOUNTAIN COMMUNITY COLLEGE	3/12	2	THOMPSON	
22-05	COCHISE COLLEGE	3/18	2	THOMPSON	
19-11	OKLAHOMA STATE UNIV-AGRIC/APPL SCI	3/24	5	THOMPSON	
01-03	MCINTOSH COLLEGE INC*	2/10	2	TUVESON	
01-04	UNIVERSITY OF NEW HAMPSHIRE	2/12	3	TUVESON	
01-07	SMITH COLLEGE	2/17	2	TUVESON	
01-12	HARVARD UNIVERSITY/RADCLIFFE COLLEGE	2/19	3	TUVESON	
01-10	REGIS COLLEGE	2/24	1	TUVESON	
01-15	COM. LEARNING CENTER SOMERVILLE, MASS	2/26	2	TUVESON	
01-05	UNIVERSITY OF MASSACHUSETTS	3/03	3	TUVESON	
01-06	AMHERST COLLEGE	3/06	2	TUVESON	
01-13	MASSACHUSETTS INST OF TECH	3/10	2	TUVESON	
01-09	SALEM STATE COLLEGE	3/12	3	TUVESON	
01-02	NORWICH UNIVERSITY	3/17	2	TUVESON	
01-01	JOHNSON STATE COLLEGE	3/20	2	TUVESON	
14-01	CENTRAL BAPTIST COLLEGE	2/10	2	WALDMANN	
14-02	UNIVERSITY OF CENTRAL ARKANSAS	2/12	3	WALDMANN	
21-06	MID PLAINS COMMUNITY COLLEGE	2/17	2	WALDMANN	
21-03	CHADRON STATE COLLEGE	2/20	2	WALDMANN	
21-02	NATIONAL COLLEGE	2/24	3	WALDMANN	
21-01	SOUTH DAKOTA SCH OF MINES & TECH	2/27	2	WALDMANN	
21-07	COLORADO MOUNTAIN COLLEGE	3/03	1	WALDMANN	
21-08	UNIVERSITY OF COLORADO	3/04	4	WALDMANN	
13-10	UNIVERSITY OF EVANSVILLE*	3/10	2	WALDMANN	
13-06	STATE AREA VOC-TECH SCH-JACKSON	3/13	2	WALDMANN	
21-05	WAYNE STATE COLLEGE	3/18	2	WALDMANN	
12-04	INDIANA UNIVERSITY BLOOMINGTON	3/24	2	WALDMANN	
12-13	ROBERT MORRIS COLLEGE	3/26	2	WALDMANN	
16-10	WEBSTER UNIVERSITY	2/10	2	WATSON	
16-12	UNIVERSITY OF MISSOURI-ST LOUIS	2/12	3	WATSON	
16-09	COLUMBIA COLLEGE*	2/17	2	WATSON	
16-08	UNIVERSITY OF MISSOURI-COLUMBIA	2/19	3	WATSON	
16-11	MISSOURI SCH DOCTORS ASST & TECH	2/24	2	WATSON	
16-03	EUREKA COLLEGE	2/27	2	WATSON	
16-05	SPOON RIVER COLLEGE	3/03	2	WATSON	
16-02	ST FRANCIS HOSP SCH OF NURSING	3/05	1	WATSON	
16-01	MONMOUTH COLLEGE	3/06	2	WATSON	
16-13	METRO BUSINESS COLLEGE	3/10	2	WATSON	
13-08	ST AREA VOCATIONAL TECHNICAL SCHOOL	3/12	3	WATSON	

ID#	SCHOOL NAME	DATE	# DAYS	DC NAME	COMMENTS
16-14	SOUTHEAST MISSOURI STATE UNIV	3/17	4	WATSON	
14-13	ALCORN STATE UNIVERSITY	3/24	2	WATSON	
14-11	TOUGALOO COLLEGE	3/31	2	WATSON	
14-10	DELTA STATE UNIVERSITY	4/02	2	WATSON	

Advanced
Technology

January 16, 1986

Dear Financial Aid Administrator:

A few days ago one of our representatives called you to arrange an interview for the Title IV Quality Control Project. I would like to confirm that the date for this interview is ________________. A project interviewer will call you a few days before this date to reconfirm the visit.

The study is being conducted in accordance with section 552a (e) (3) of the Privacy Act of 1974, 5 U.S.C. 552a (e) (3), and section 5b.4 of the Department of Education regulations implementing that section, 34 CFR 5b.4. Access to your student records is authorized under Department of Education regulations implementing the Title IV programs, 34 CFR 668.12(c)(3).

If you have any questions or you cannot keep this appointment, please call Beth Schwartz of Advanced Technology, collect at (703) 620-8253.

I appreciate your cooperation with this important study.

Sincerely,

ADVANCED TECHNOLOGY, INC.,

Carol M. Miller
Project Manager

Advanced Technology, Inc., 12001 Sunrise Valley Drive, Reston, Virginia 22091 • (703) 620-8000

Items Needed At Time of Visit

- A list of recipients of Pell Grants
- An unduplicated list of students who have been awarded and have accepted Campus-Based aid (a list on which the names of recipients appear only once, even if they have received aid from more than one Campus-Based program)
- A list of students whom you have certified for GSL's
- All procedures for determing cost of attendance (including budgets)
- All policies on whom to validate/verify
- All packaging policies
- Special forms for documenting need adjustments
- Refund/repayment policies
- Any forms you use in your quality control procedures

The data collector will also need to review the 1984-85 enrollment status of 2 preselected Pell Grant recipients. Please advise the Registrar's office that the data collector will need access to the 1984-85 records.

951821

Contact Name

____

INST. CODE ______________________ CALLER ______________________

INST. NAME ______________________ TIME ______________________

______________________ DATE ______________________

City State

RESCHEDULE ____YES

____NO

TELEPHONE NO. ______________

TITLE IV STUDY SCHEDULE CONFIRMATION

Good (morning/afternoon) (Ms./Mr.) ______________. I am ____________, from Westat, Inc., in Rockville, Maryland. A couple of weeks ago Mr. Ernst Becker from the Department of Education sent you a letter describing the Title IV Quality Control Study that Advanced Technology and Westat will conduct and the kinds of activities we will be performing at 300 institutions throughout the U.S.

1. Have you received the letter and had a chance to read it?

    ____ YES (GO TO 3)

    ____ NO

    ____ CAN'T RECALL

    ____ WANT MORE INFORMATION

2. Advanced Technology, Inc., and Westat are under contract to the Department of Education to conduct a Quality Control Study for the Title IV student aid programs. The major objectives of the study are to:

    - Determine payment and award error rates for those programs by interviewing parents, students, and institutions
    - Define the probable causes of these errors
    - Develop corrective action proposals to reduce payment error

    The institutional phase of this year's data collection is designed to visit each of the sample institutions, interview the financial aid administrator, and compile data on a sample of Pell and Campus-Based recipients and GSL certifications. We will be making these visits between February 10 and March 21. The interview will take about an hour and a half. We will need to select a sample of your aid recipients from your records and compile information on those students. We estimate that the average visit will take one to two days, but you will need to be available only for the interview. Other aspects of data collection do not require your presence.

3. Does your institution have branch campuses?

___ YES

___ NO (GO TO 5)

4. I will need a list of branch campuses and the unduplicated count of Title IV recipients for 1985-86 at each. Could you give them to me? (IF THE RESPONDENT CANNOT GIVE UNDUPLICATED RECIPIENTS, ASK FOR APPROXIMATE ENROLLMENT AT EACH BRANCH CAMPUS)

	CAMPUS	UNDUPLICATED RECIPIENTS/ENROLLMENT: PELL	CAMPUS BASED	GSL
1				
2				
3				
4				
5				
6				
7				

(IF MORE THAN 7 BRANCHES, CONTINUE ON BACK OF THIS PAGE)
(GO TO 8)

5. What is the number of Pell Grant recipients for 1985-86?

__________ NUMBER

__________ DON'T KNOW

6. What is the estimated number of unduplicated Campus-Based recipients for 1985-86?

__________ NUMBER

__________ DON'T KNOW

7. What is the estimated number of GSL certifications for 1985-86?

______ NUMBER

______ DON'T KNOW

8. For planning purposes, we have established a tentative schedule to visit all institutions this spring and trust that most institutions will try to accommodate that schedule so the Department of Education will receive our findings by mid-summer.

I have a checklist of items to ask you regarding our visit to your institution:

9. Our interviewer is tentatively scheduled to begin the visit to your institution on ______________ at 8:00 a.m. Is that date and time acceptable to you?

______ YES (GO TO 12)

______ NO, DATE UNACCEPTABLE (GO TO 10)

______ 8:00 A.M. UNACCEPTABLE. What time can our visitor arrive to get in a full day's work?

RECORD TIME __________ (GO TO 12)

10. Because our interviewers have so much travelling to do, it is important that we be able to stop at all the sample institutions in one city or area on a single visit. Pending confirmation from other institutions in your area, ______________ or ______________ would be good alternate start dates for us. Would they be acceptable to you?

______ YES (GO TO 12)

______ NO

11. Keeping in mind that we have to keep a very tight schedule, what would be the closest acceptable date to the date I originally suggested? I originally suggested ______________ (RECORD ALTERNATE DATE) ______________.

12. Would any local holidays, school vacation periods, or other events interfere with (our proposed visit/any of the alternate dates)?

__________ YES

__________ NO (GO TO 16)

13. Is that a local holiday which might affect other institutions in your area, or is it specific to your institution?

__________ HOLIDAY, MIGHT AFFECT OTHER INSTITUTIONS

__________ SPECIFIC TO OWN INSTITUTION

14. Because our interviewers have so much travelling to do, it is important that we be able to stop at all the sample institutions in one city or area on a single visit. Pending confirmation from other institutions in your area, ________________ or ________________ would be good alternate start dates for us. Would they be acceptable to you?

__________ YES (GO TO 16)

__________ NO

15. Keeping in mind that we have to keep a very tight schedule, what would be the closest acceptable date to the date I originally suggested? I orignally suggested ______________. (RECORD ALTERNATE DATE) ______________.

16. Our interviewer will need to review individual student financial aid records. Are the records for all students who are receiving Title IV aid kept in the Student Aid Office?

__________ YES

__________ NO (IF NO, ASK WHERE THEY ARE LOCATED AND RECORD. IF LOCATED AT OTHER THAN CAMPUS, OBTAIN NAME AND ADDRESS OF LOCATION AND NAME AND PHONE NUMBER OF INDIVIDUAL RESPONSIBLE FOR MAINTAINING THESE RECORDS.) ______________

____

____

17. Where is the Student Aid Office located? (RECORD BUILDING, STREET ADDRESS, IF APPROPRIATE, FLOOR AND ROOM NUMBER.) ________________

____

____

18. To get all the information they need, our interviewers often have to visit the Registrar and Bursar, as well as the student aid office. Are both the Registrar and Bursar located in the same building as your office?

________ YES (GO TO 21)

________ NO

19. Where is the Registrar's office?

(RECORD ANSWER) ____

20. Where is the Bursar's office?

(RECORD ANSWER) ____

21. Our data collector will have a recipient/applicant sampling procedure to follow upon arrival. However, the sample selection will be accomplished much faster if there is a combined list of all 1985-86 SEOG, College Work-Study, and NDSL, recipients at your institution, a list of all Pell Grant recipients for 1985-86, and a list of GSL certifications made for 1985-86.

22. Do you now have such lists?

________ YES

________ NO (GO TO 24)

23. Are all Campus-Based recipients on one list, or do you have a separate list for each program?

________ ALL ON ONE LIST (GO TO 25)

________ SEPARATE LISTS (GO TO 31)

Our data collector will need instructions upon arrival on how to tell from which programs each student on the list is receiving aid.

24. Could you compile such a list?

________ YES We would very much appreciate your doing that before the date of our visit.

________ NO

25. How are records physically stored (files in cabinet, cards in filebox)? RECORD ANSWER ______________________________

____

Our data collector will have to use the files upon arrival and will need someone to explain your filing or record-keeping system. (GO TO 26)

26. What is the last day of classes in this academic year/term? __________

27. Is there any particular nearby hotel or motel which you would recommend to a parent or student from out of town who was visiting your school? (DO NOT PROBE FOR ANSWER TO THIS QUESTION ______________

____

____

28. Thank you again for your cooperation. We will send you confirmation of the visit in the mail.

COMMENTS

Title IV QC PROJECT
SPRING, 1986 DATA COLLECTION

INTERVIEWER VALIDATION REPORT

Interviewer ______________________________

Institution Visited/ID ______________________________

Financial Aid Administrator ______________________________

Telephone Number ______________________________

Date of Visit ______________________________

Validation Calls (Enter call-back time in next column)

Date: ____ ____ ____ ____ ____ ____

Time: ____ ____ ____ ____ ____ ____

Hello, this is ____________ from Advanced Technology, Inc. I am calling about the visit of ____________ to your institution to collect data for the Quality Control study we are doing for the Department of Education. In order to assure the quality of this data, we are calling the participating institutions to evaluate the performance of our field personnel.

On ______________, ______________ was scheduled to interview
Date of visit   Name of Interviewer

you and collect some data from some of your student files.

1. Did (he/she) arrive on time?

   1. Yes
   2. No

2. Did (he/she) present (his/her) credentials?

   1. Yes
   2. No

3. Did (he/she) conduct the interview with you in a professional manner?

   1. Yes
   2. No What in particular did you find unprofessional about (his/her) conduct? ______________________

DATA COLLECTOR CALL-IN FORM

NAME:

REGION:

DATE:

DISCUSSION TOPICS:

MATERIALS:

INTERVIEWS:

S.R.A.s:

CASH ADVANCE:

TRAVEL ARRANGEMENT:

EXPENSE REPORTING:

OTHER:

DATA COLLECTION PROBLEMS TO DISCUSS WITH FIELD DATA COLLECTORS

DATA COLLECTOR: ______________________________

DISTRICT: ______________________________

PERSON FILLING OUT THIS FORM: ______________________________

PROBLEM REVEALED BY:

( ) Editing

( ) Verification Call

( ) Field Observation

( ) Other (Specify) ______________________________

DISCUSS WITH DATA COLLECTOR:

( ) Immediately ( ) In Scheduled Call

DESCRIPTION OF PROBLEM:

UNITED STATES DEPARTMENT OF EDUCATION
OFFICE OF THE ASSISTANT SECRETARY FOR POSTSECONDARY EDUCATION

Dear Student,

According to our records, you are receiving financial aid from at least one of the following Federal programs: the National Direct Student Loan (NDSL), Supplemental Educational Opportunity Grant (SEOG), College Work-Study (CW-S), Pell Grant, or Guaranteed Student Loan program. The Office of Postsecondary Education of the Department of Education is conducting a quality control study to determine the amount and type of payment errors being made in administering these programs, and the probable causes of errors. The study will enable the Department of Education to take corrective actions to alleviate any major errors identified.

You and your parents have been randomly selected to participate in the study, and we need specific information from you for the study to be successful. A representative from Westat, Inc., a research firm located near Washington, D.C., will be contacting you in a few weeks to arrange an interview. You will be requested to show certain financial records to verify the information submitted on your 1985-86 financial aid application. We appreciate your cooperation, since the results of this study will be used to improve the delivery of student financial assistance.

To keep the interview short and effective, please follow the instructions on the enclosed form, "List of Documents Necessary for this Study." In most cases, these instructions simply request that you obtain certain documents to verify your income and assets. The Westat interviewer will ask you to show these documents during the interview.

If you filed a 1984 Federal Income Tax Form, we request that you voluntarily sign the enclosed Income Tax Form Release Statement, and return it to Westat as soon as possible in the enclosed postage-paid envelope. Westat will send the release statement to your IRS Service Center, and arrange for a copy of your tax form to be sent directly to Westat. While it is not mandatory that you sign this release, this procedure is necessary to guarantee that we obtain a complete picture of the type of errors made in connection with student financial assistance programs.

I want to emphasize that the help you and other students give us is vital to the success of the study. Because only a small representative sample of students will be interviewed, your information will play an important part in the study's findings. Future changes to Federal student financial aid programs will rely, in part, on the outcome of this study.

This study is being conducted according to the regulations of the Privacy Act. The interviewer has signed a confidentiality statement under which he or she has sworn not to reveal to anyone not connected with this study any information you provide. If you have any questions about the study, or any of the things you have been asked to do, please call the Westat representative at (800) 544-7755 toll free, and mention Title IV.

Thank you in advance for your assistance and cooperation.

Sincerely,

Ernst Becker

Ernst G. Becker, Director
Division of Quality Assurance
Debt Collection and Management
Assistance Service

Enclosures

ANSWERS TO QUESTIONS THAT ARE OFTEN ASKED

- WHO IS CONDUCTING THE STUDY?

  This Title IV Quality Control Study is being conducted by the Quality Assurance Division of the U.S. Department of Education. Westat, Inc., a social science research firm located near Washington, D.C., is under contract to the Department of Education to conduct the survey interviews.

- WHY IS THE STUDY BEING CONDUCTED?

  The information is being collected to determine the types of errors being made on financial aid applications, why they are being made, and to recommend appropriate changes.

- WHY WAS I CHOSEN?

  A sample of students and their parents were randomly selected from lists of those students receiving either a Pell Grant, a Supplemental Educational Opportunity Grant (SEOG), a National Direct Student Loan (NDSL), a Guaranteed Student Loan (GSL), or College Work-Study (CW-S) assistance under Title IV of the Higher Education Act. Your name was one of those chosen.

- AM I REQUIRED TO PARTICIPATE?

  Participation in this study is voluntary, unless you are receiving a Pell Grant. However, we would appreciate your help in doing this survey. The help that you and other students and parents give us is vital to the success of the survey. The authority for collecting this information is in Title IV of the Higher Education Act of 1965 [Section 411(b)(2) as amended by 20 U.S.C. 1070a(b)(2) and 45 CFR 190.12].

- HOW WILL I RECOGNIZE THE INTERVIEWER?

  Prior to making personal contact at your household, the Westat interviewer will attempt to reach you by telephone (if a number can be obtained). At that time he or she will answer any questions, set up a time for the interview, and tell you about the identification he or she will be carrying. All Westat interviewers carry identification cards with their pictures.

- WILL THIS INFORMATION BE KEPT CONFIDENTIAL?

  This study is being conducted according to the regulations of the Privacy Act. The interviewer has signed a statement swearing not to reveal any information obtained during this interview, except for the purposes of this study and as required by law.

- HOW LONG WILL THIS INTERVIEW TAKE?

  Our experience has shown that most interviews take approximately twenty to thirty minutes.

DS

LIST OF DOCUMENTS NECESSARY FOR THIS STUDY

As part of this study, the Westat interviewer will ask you to show him or her various documents and forms which verify the information reported on the application for Title IV assistance. The following chart lists the names of these documents and forms. If they apply to you, please have them ready to show the interviewer.

IF YOU REPORTED ON THE APPLICATION THAT YOU:	BE READY TO SHOW THE INTERVIEWER:
1. Are a U.S. citizen	A document such as a birth certificate or passport that verifies your citizenship.
2. Are an eligible non-citizen.	A document such as a passport, Form I-151, or Form I-94, that indicates you are an eligible non-citizen.
3. Are married, separated or divorced.	A document such as a marriage certificate, divorce decree, legal separation agreement or appropriate document to verify marital status.
4. Did not live with your parents for more than six weeks during 1984.	Documents, such as rent receipts, lease agreements, cancelled checks, or mortgage statements that indicate you did not live with your parents in 1984.
5. Did not live with your parents for more than six weeks during 1985.	Documents, such as rent receipts, lease agreements, cancelled checks, or mortgage statements that indicate you did not live with your parents in 1985.
6. (Or your spouse) had income in 1984. NOTE: If you are married and filed separately from your spouse in 1984, these instructions also apply to your spousalso apply to your spouse.	• If you filed a 1984 Federal Tax Return: BEFORE THE INTERVIEW: While it is not mandatory, we request that you voluntarily complete and sign the enclosed release statement (Form 4506) so that a copy of your 1984 Federal Income Tax Return and all supporting schedules can be sent to Westat. Refer to the special instructions for completing this form. Do not enclose a check with this form. The fee will be paid by Westat. Please complete and return AS SOON AS POSSIBLE. DURING THE INTERVIEW: If you have one on hand, you should be prepared to show a copy of your 1984 tax return or worksheet to the interviewer. • If you had earned income but did not file a 1984 Federal Income Tax Return, have a W-2 or 1099 that indicates the amount you earned in 1984. • If you received non-taxable income in 1984, such as Social Security benefits, welfare benefits, child support or Veterans' benefits (other than educational benefits), be ready to show the interviewer a statement or form from the appropriate agency that indicates how much you received in 1984.

PLEASE TURN OVER

INFORMATION UPDATE SHEET

PLEASE FILL OUT THIS FORM AND MAIL IT IN THE ENCLOSED ENVELOPE

PLEASE COMPLETE

Student's Name ______________________
First Last Initial

Mother's Name ______________________
First Last Initial

Mother's Address ______________________
Street # Street Name Apt. #

____
City State Zip

Mother's Telephone # (   ) ______________________
Area Code

Father's Name ______________________
First Last Initial

COMPLETE IF DIFFERENT THAN ABOVE

Father's Address ______________________
Street # Street Name Apt. #

____
City State Zip

Father's Telephone # (   ) ______________________
Area Code

COMPLETE IF YOUR ADDRESS IS DIFFERENT THAN THE ONE TO WHICH THIS LETTER WAS MAILED

Student's New Address ______________________
Street # Street Name Apt. #

____
City State Zip

PLEASE COMPLETE

Student's Telephone # (   ) ______________________
Area Code

OFFICE USE ONLY

(STUDENT)

WESTAT
Title IV Q.C. Study

Form **4506**
(Rev. October 1985)
Department of the Treasury
Internal Revenue Service

Request for Copy of Tax Form or Tax Account Information

▶ **Please read instructions before completing this form.**

OMB No 1545-0429
Expires 3-31-88

Important: Full payment must accompany your request.

1 Name of taxpayer(s) as shown on tax form

5 Social security or employer identification number as shown on tax form

2 Current name and address

6 Spouse's social security number as shown on tax form

7 Tax form number (Form 1040, 1040A, etc.)
1040, 1040A or 1040EZ

3 If information is to be mailed to someone else, show the third party's name and address

WESTAT
1650 Research Boulevard
Rockville, Md. 20850 (Title IV Study)

8 Tax period(s) (1983, etc.) (No more than 4 per request)
1984

9 Amount due:
a Cost checked in item 10 . . . . $
b Number of periods requested in item 8 . . . .
c Total cost (multiply item 9a by item 9b) . . . . $
Make check payable to IRS

4 If name in third party's records differs from item 1 above, show here (See instructions for items 3 and 4.)

See Transmittal Document (attached)

10 Describe what you want (Check only one box)

$4.25/each period requested ☒ Copy of tax form and all attachments
Note: *If you need these copies for court or administrative proceedings, check here* ☐ *also.*

$2.25/each period requested ☐ Tax account information only

Please Sign Here ▶

Signature
Date

Title (If item 1 above is a corporation, partnership, estate or trust)

Telephone number of requester
(301) 251-1500

Convenient time for us to call
9:00 a.m. - 5:00 p.m.
Monday - Friday

Instructions

Privacy Act and Paperwork Reduction Act Notice.—We ask for this information to carry out the Internal Revenue laws of the United States. We need the information to gain access to your return in our files and properly respond to your request. If you do not furnish the information, we may not be able to fill your request.

Purpose of Form.—Use this form to request a copy of a tax return or tax account information.

Note: *If you had your return filled out by a paid preparer, check first to see if you can get a copy. This may save you both time and money.*

If you are not the taxpayer shown in item 1, you must send a copy of your authorization to receive the information. This will generally be a power of attorney, tax information authorization, or evidence of entitlement (for Title 11 Bankruptcy or Receivership Proceeding). If the taxpayer is deceased, you must send enough evidence to establish that you are authorized to act for the taxpayer's estate.

Tax returns and return information about joint returns may be disclosed to either the husband or the wife. Only one signature is required. If your name has changed, sign Form 4506 exactly as your name appeared on the return and also sign with your current name.

Please allow at least 45 days for delivery when requesting a copy of a return, or at least 30 days when requesting return information. (You must allow at least 6 weeks processing time after a return is filed before requesting a copy or other information.)

Corporations, Partnerships, Estates, and Trusts.—For rules on who may obtain tax information on the entity, see Internal Revenue Code section 6103.

Items 3 and 4.—If you have named someone else to receive the information (such as a CPA, scholarship board, or mortgage issuer), **you must include the name of an individual** with the address in item 3. Also, be sure and write the name of the client, student, or applicant in item 4 if it is different from the name shown in item 1. For example, item 1 may be the parents of a student applying for financial aid. Show the student's name in item 4 so the scholarship board will know what file to associate the return information with. If we cannot find a record of your return, we will notify the third party directly that we cannot fill the request.

Item 5.—For individuals, the social security number is written 000-00-0000. For businesses and certain others, the employer identification number is written 00-0000000. Please separate the nine digits as shown, to distinguish the type of number being reported.

Item 8.—Enter the year(s) of the tax form you are requesting. For fiscal-year filers or requests for quarterly returns, enter the date the period ended. If you need more than four different periods, use additional request forms. Returns which were filed six or more years ago may not be available for making copies. However, tax account information is generally still available for these periods.

(Continued on back)

UNITED STATES DEPARTMENT OF EDUCATION
OFFICE OF THE ASSISTANT SECRETARY FOR POSTSECONDARY EDUCATION

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Sincerely,

Ernst Becker

Ernst G. Becker, Director
Division of Quality Assurance
Debt Collection and Management
Assistance Service

Enclosures

400 MARYLAND AVE., S.W. WASHINGTON, D.C. 20202

ANSWERS TO QUESTIONS THAT ARE OFTEN ASKED

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- HOW LONG WILL THIS INTERVIEW TAKE?

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LIST OF DOCUMENTS NECESSARY FOR THIS STUDY

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1. Are a U.S. citizen	A document such as a birth certificate or passport that verifies your citizenship.
2. Are an eligible non-citizen.	A document such as a passport, Form I-151, or Form I-94 that indicates you are an eligible non-citizen.
3. Are married, separated or divorced	A document such as a marriage certificate, divorce decree, legal separation agreement or appropriate document to verify marital status.
4. Did not live with your parents for more than six weeks during 1984 and 1985.	Documents, such as rent receipts, lease agreements, cancelled checks, or mortgage statements, that indicate you did not live with your parents in 1984 and 1985.
5. Were not listed as an exemption on your parents' Federal Income Tax Return during 1984.	A copy of the front page of your parents' 1984 Federal Income Tax Return.
6. Filed a 1984 Federal Tax Return. NOTE: If you are married and filed separately from you spouse in 1984, these instructions also apply to your spouse.	BEFORE THE INTERVIEW: While it is not mandatory, we request that you voluntarily complete and sign the enclosed release statement (Form 4506) so that a copy of your 1984 Federal Income Tax Return and all supporting schedules can be sent to Westat. Refer to the special instructions for completing this form. Do not enclose a check with this form. The fee will be paid by Westat. Please complete and return AS SOON AS POSSIBLE. DURING THE INTERVIEW: If you have one on hand, you should be prepared to show a copy of your 1984 tax return or worksheet to the interviewer.
7. (Or your spouse) received Social Security benefits in 1984.	A form or statement from the Social Security office indicating the amount of your (and your spouse's) benefits in 1984.
8. (Or your spouse) received non-taxable income in 1984, such as child support, general assistance (for example, Aid to Dependent Children or other forms of welfare), or Veterans' benefits (other than educational benefits).	• If you received child support: a document, such as a court order or separation agreement, that indicates the amount you (or your spouse) received in 1984. • If you received Aid to Dependent Children or other forms of welfare: any documents, such as a public assistance letter, that indicate the amount of your (and your spouse(s) benefits in 1984. • If you received Veterans' benefits (other than educational benefits): a statement or form from the VA office which indicates the amount you (and your spouse) received in 1984.

PLEASE TURN OVER

INFORMATION UPDATE SHEET

PLEASE FILL OUT THIS FORM AND MAIL IT IN THE ENCLOSED ENVELOPE

PLEASE COMPLETE

Student's Name ______________________________
First Last Initial

Mother's Name ______________________________
First Last Initial

Mother's Address ______________________________
Street # Street Name Apt. #

____
City State Zip

Mother's Telephone # (_____) ______________________________
Area Code

Father's Name ______________________________
First Last Initial

COMPLETE IF DIFFERENT THAN ABOVE

Father's Address ______________________________
Street # Street Name Apt. #

____
City State Zip

Father's Telephone # (_____) ______________________________
Area Code

COMPLETE IF YOUR ADDRESS IS DIFFERENT THAN THE ONE TO WHICH THIS LETTER WAS MAILED

Student's New Address ______________________________
Street # Street Name Apt. #

____
City State Zip

PLEASE COMPLETE

Student's Telephone # (_____) ______________________________
Area Code

OFFICE USE ONLY

(STUDENT)

WESTAT
Title IV Q.C. Study

Form **4506**
(Rev. October 1985)
Department of the Treasury
Internal Revenue Service

Request for Copy of Tax Form or Tax Account Information

▶ **Please read instructions before completing this form.**

OMB No 1545-0429
Expires 3-31-88

Important: Full payment must accompany your request.

1 Name of taxpayer(s) as shown on tax form

2 Current name and address

3 If information is to be mailed to someone else, show the third party's name and address

WESTAT
1650 Research Boulevard
Rockville, Md. 20850 (Title IV Study)

4 If name in third party's records differs from item 1 above, show here (See instructions for items 3 and 4.)

See Transmittal Document (attached)

5 Social security or employer identification number as shown on tax form

6 Spouse's social security number as shown on tax form

7 Tax form number (Form 1040, 1040A, etc.)

1040, 1040A or 1040EZ

8 Tax period(s) (1983, etc.) (No more than 4 per request)

1984

9 Amount due:

a Cost checked in item 10 . . . . $

b Number of periods requested in item 8 . . . .

c Total cost (multiply item 9a by item 9b) . . . . $ [redacted]

Make check payable to IRS

10 Describe what you want (Check only one box)

$4.25/each period requested ☒ Copy of tax form and all attachments

Note: *If you need these copies for court or administrative proceedings, check here* ☐ *also.*

$2.25/each period requested ☐ Tax account information only

Please Sign Here ▶

Signature

Date

Title (If item 1 above is a corporation, partnership, estate or trust)

Telephone number of requester

(301) 251-1500

Convenient time for us to call

9:00 a.m. - 5:00 p.m.
Monday - Friday

Instructions

Privacy Act and Paperwork Reduction Act Notice.—We ask for this information to carry out the Internal Revenue laws of the United States. We need the information to gain access to your return in our files and properly respond to your request. If you do not furnish the information, we may not be able to fill your request.

Purpose of Form.—Use this form to request a copy of a tax return or tax account information.

Note: *If you had your return filled out by a paid preparer, check first to see if you can get a copy. This may save you both time and money.*

If you are not the taxpayer shown in item 1, you must send a copy of your authorization to receive the information. This will generally be a power of attorney, tax information authorization, or evidence of entitlement (for Title 11 Bankruptcy or Receivership Proceeding). If the taxpayer is deceased, you must send enough evidence to establish that you are authorized to act for the taxpayer's estate.

Tax returns and return information about joint returns may be disclosed to either the husband or the wife. Only one signature is required. If your name has changed, sign Form 4506 exactly as your name appeared on the return and also sign with your current name.

Please allow at least 45 days for delivery when requesting a copy of a return, or at least 30 days when requesting return information. (You must allow at least 6 weeks processing time after a return is filed before requesting a copy or other information.)

Corporations, Partnerships, Estates, and Trusts.—For rules on who may obtain tax information on the entity, see Internal Revenue Code section 6103.

Items 3 and 4.—If you have named someone else to receive the information (such as a CPA, scholarship board, or mortgage issuer), you must include the name of an individual with the address in item 3. Also, be sure and write the name of the client, student, or applicant in item 4 if it is different from the name shown in item 1. For example, item 1 may be the parents of a student applying for financial aid. Show the student's name in item 4 so the scholarship board will know what file to associate the return information with. If we cannot find a record of your return, we will notify the third party directly that we cannot fill the request.

Item 5.—For individuals, the social security number is written 000-00-0000. For businesses and certain others, the employer identification number is written 00-0000000. Please separate the nine digits as shown, to distinguish the type of number being reported.

Item 8.—Enter the year(s) of the tax form you are requesting. For fiscal-year filers or requests for quarterly returns, enter the date the period ended. If you need more than four different periods, use additional request forms. Returns which were filed six or more years ago may not be available for making copies. However, tax account information is generally still available for these periods.

(Continued on back)

UNITED STATES DEPARTMENT OF EDUCATION
OFFICE OF THE ASSISTANT SECRETARY FOR POSTSECONDARY EDUCATION

Dear Parent,

According to our records, your son or daughter is receiving financial aid from at least one of the following Federal programs: the National Direct Student Loan (NDSL), Supplemental Educational Opportunity Grant (SEOG), College Work-Study (CW-S), Pell Grant, or Guaranteed Student Loan program. The Office of Postsecondary Education of the Department of Education is conducting a quality control study to determine the amount and type of payment errors being made in administering these programs, and the probable causes of errors. The study will enable the Department of Education to take corrective actions to alleviate any major errors identified.

You and your son or daughter have been randomly selected to participate in the study, and we need specific information from you for the study to be successful. A representative from Westat, Inc., a research firm located near Washington, D.C., will be contacting you in a few weeks to arrange an interview. You will be requested to show certain financial records to verify the information submitted on your 1985-86 financial aid application. We appreciate your cooperation, since the results of this study will be used to improve the delivery of student financial assistance.

To keep the interview short and effective, please follow the instructions on the enclosed form, "List of Documents Necessary for this Study." In most cases, these instructions simply request that you obtain certain documents to verify your income and assets. The Westat interviewer will ask you to show these documents during the interview.

If you filed a 1984 Federal Income Tax Form, we request that you voluntarily sign the enclosed Income Tax Form Release Statement, and return it to Westat as soon as possible in the enclosed postage-paid envelope. Westat will send the release statement to your IRS Service Center, and arrange for a copy of your tax form to be sent directly to Westat. While it is not mandatory that you sign this release, this procedure is necessary to guarantee that we obtain a complete picture of the type of errors made in connection with student financial assistance programs.

I want to emphasize that the help you and other parents give us is vital to the success of the study. Because only a small representative sample of students will be interviewed, your information will play an important part in the study's findings. Future changes to Federal student financial aid programs will rely, in part, on the outcome of this study.

This study is being conducted according to the regulations of the Privacy Act. The interviewer has signed a confidentiality statement under which he or she has sworn not to reveal to anyone not connected with this study any information you provide. If you have any questions about the study, or any of the things you have been asked to do, please call the Westat representative at (800) 544-7755 toll free, and mention Title IV.

Thank you in advance for your assistance and cooperation.

Sincerely,

Ernst Becker

Ernst G. Becker, Director
Division of Quality Assurance
Debt Collection and Management
Assistance Service

Enclosures

ANSWERS TO QUESTIONS THAT ARE OFTEN ASKED

- WHO IS CONDUCTING THE STUDY?

This Title IV Quality Control Study is being conducted by the Quality Assurance Division of the U.S. Department of Education. Westat, Inc., a social science research firm located near Washington, D.C., is under contract to the Department of Education to conduct the survey interviews.

- WHY IS THE STUDY BEING CONDUCTED?

The information is being collected to determine the types of errors being made on financial aid applications, why they are being made, and to recommend appropriate changes.

- WHY WAS I CHOSEN?

A sample of students and their parents were randomly selected from lists of those students receiving either a Pell Grant, a Supplemental Educational Opportunity Grant (SEOG), a National Direct Student Loan (NDSL), a Guaranteed Student Loan (GSL), or College Work-Study (CW-S) assistance under Title IV of the Higher Education Act. Your name was one of those chosen.

- AM I REQUIRED TO PARTICIPATE?

Participation in this study is voluntary, unless you are receiving a Pell Grant. However, we would appreciate your help in doing this survey. The help that you and other students and parents give us is vital to the success of the survey. The authority for collecting this information is in Title IV of the Higher Education Act of 1965 [Section 411(b)(2) as amended by 20 U.S.C. 1070a(b)(2) and 45 CFR 190.12].

- HOW WILL I RECOGNIZE THE INTERVIEWER?

Prior to making personal contact at your household, the Westat interviewer will attempt to reach you by telephone (if a number can be obtained). At that time he or she will answer any questions, set up a time for the interview, and tell you about the identification he or she will be carrying. All Westat interviewers carry identification cards with their pictures.

- WILL THIS INFORMATION BE KEPT CONFIDENTIAL?

This study is being conducted according to the regulations of the Privacy Act. The interviewer has signed a statement swearing not to reveal any information obtained during this interview, except for the purposes of this study and as required by law.

- HOW LONG WILL THIS INTERVIEW TAKE?

Our experience has shown that most interviews take approximately twenty to thirty minutes.

PARENT

LIST OF DOCUMENTS NECESSARY FOR THIS STUDY

As part of this study, the Westat interviewer will ask you to show him or her various documents and forms which verify the information reported on the application for Title IV assistance. The following chart lists the names of these documents and forms. If they apply to you, please have them ready to show the interviewer.

IF YOU REPORTED ON THE APPLICATION THAT YOU:	BE READY TO SHOW THE INTERVIEWER:
1. Are married, separated, or divorced	A document such as a marriage certificate, divorce decree, legal separation agreement or appropriate document to verify marital status.
2. Filed a 1984 Federal Tax Return NOTE: If you are married and filed separately from your spouse in 1984, these instructions also apply to your spouse.	BEFORE THE INTERVIEW: While it is not mandatory, we request that you voluntarily complete and sign the enclosed release statement (Form 4506) so that a copy of your 1984 Federal Income Tax Return and all supporting schedules can be sent to Westat. Refer to the special instructions for completing this form. Do not enclose a check with this form. The fee will be paid by Westat. Please complete and return AS SOON AS POSSIBLE. DURING THE INTERVIEW: If you have one on hand, you should be prepared to show a copy of your 1984 tax return or worksheet to the interviewer.
3. (Or your spouse) received Social Security benefits in 1984.	A form or statement from the Social Security office indicating the amount of your (and your spouse's) benefits in 1984.
4. (Or your spouse) received non-taxable income in 1984, such as child support, general assistance (for example, Aid to Dependent Children or other forms of welfare), or Veterans' benefits (other than educational benefits)	• If you received child support: A document, such as a court order or separation agreement that indicates the amount you (or your spouse) received in 1984. • If you received Aid to Dependent Children or other forms of welfare: any documents, such as a public assistance letter, that indicate the amount of your (and your spouse's) benefits in 1984. • If you received Veterans' benefits (other than educational benefits): a statement or form from the VA office which indicates the amount you (and your spouse) received in 1984.
5. (Or your spouse) paid medical or denal expenses in 1984.	A document, such as 1040-Schedule A, cancelled checks, or a statement from a hospital or doctor that indicates the amount you (and your spouse) paid in 1984.

PLEASE TURN OVER

INFORMATION UPDATE SHEET

PLEASE FILL OUT THIS FORM AND MAIL IT IN THE ENCLOSED ENVELOPE

COMPLETE AND MAIL BACK IF YOUR ADDRESS IS DIFFERENT THAN THE ONE TO WHICH THIS LETTER WAS MAILED

Student's Name ______________________
First Last Initial

Mother's Name ______________________
First Last Initial

Father's Name ______________________
First Last Initial

New Address ______________________
Street # Street Name Apt. #

____
City State Zip

COMPLETE IF YOU HAVE A NEW OR UNLISTED NUMBER

Telephone # (   ) ______________________
Area Code

OFFICE USE ONLY

(PARENT)

WESTAT
Title IV Q.C. Study

Form **4506**
(Rev. October 1985)
Department of the Treasury
Internal Revenue Service

Request for Copy of Tax Form or Tax Account Information

▶ Please read instructions before completing this form.

OMB No. 1545-0429
Expires 3-31-88

Important: Full payment must accompany your request.

1 Name of taxpayer(s) as shown on tax form

5 Social security or employer identification number as shown on tax form

2 Current name and address

6 Spouse's social security number as shown on tax form

7 Tax form number (Form 1040, 1040A, etc.)
1040, 1040A or 1040EZ

3 If information is to be mailed to someone else, show the third party's name and address
WESTAT
1650 Research Boulevard
Rockville, Md. 20850 (Title IV Study)

8 Tax period(s) (1983, etc.) (No more than 4 per request)
1984

9 Amount due:
a Cost checked in item 10 . . . . $
b Number of periods requested in item 8 . . . .
c Total cost (multiply item 9a by item 9b) . . . . $ [redacted]
Make check payable to IRS

4 If name in third party's records differs from item 1 above, show here (See instructions for items 3 and 4.)
See Transmittal Document (attached)

10 Describe what you want (Check only one box)

$4.25/each period requested ☒ Copy of tax form and all attachments
Note: *If you need these copies for court or administrative proceedings, check here* ☐ *also.*

$2.25/each period requested ☐ Tax account information only

Please Sign Here ▶
Signature
Date
Title (If item 1 above is a corporation, partnership, estate or trust)

Telephone number of requester
(301) 251-1500

Convenient time for us to call
9:00 a.m. - 5:00 p.m.
Monday - Friday

Instructions

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Note: *If you had your return filled out by a paid preparer, check first to see if you can get a copy. This may save you both time and money.*

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Item 8.—Enter the year(s) of the tax form you are requesting. For fiscal-year filers or requests for quarterly returns, enter the date the period ended. If you need more than four different periods, use additional request forms. Returns which were filed six or more years ago may not be available for making copies. However, tax account information is generally still available for these periods.

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UNITED STATES DEPARTMENT OF EDUCATION
WASHINGTON, D.C. 20202

ASSISTANT SECRETARY
FOR POSTSECONDARY EDUCATION
OFFICE OF STUDENT FINANCIAL ASSISTANCE

May 15, 1986

Dear Quality Control Study Respondent:

It has been brought to my attention that you refused to participate in the Title IV Quality Control Study when an interviewer from Westat contacted you to arrange an appointment. I would like to strongly urge you to reconsider this decision.

If you (or your son or daughter) received a Pell Grant, you are required to provide information and documentation to verify your 1) adjusted gross income, 2) U.S. taxes paid, 3) number in household, 4) number in college, 5) dependency status, and 6) untaxed income. This is in accord with the statement you signed on the application form. Failure to provide this information may result in changes in the amount of the student's Pell Grant. Also, if the information collected indicates that the student aid award is incorrect, it may be necessary to correct the error. You are not required to provide any other documentation, but we would appreciate your cooperation in completing the remainder of the interview. The documentation you provide will be used to improve the delivery of student aid.

Because you were randomly selected to participate in this study, you are representing thousands of student aid recipients (and their parents) from schools throughout the country. We cannot simply interview someone else. It is important that the views, experiences, and documentation of each sampled student and his or her parents be included so that we can project the findings to the total recipient population nationwide.

Again, I urge you to cooperate in our efforts to improve the student financial aid programs. The information you provide is vital to the success of the study. A Westat Supervisor will call you in a few days to answer any questions you might have and arrange for an interview. If you have a busy schedule, an appointment can be established at a time convenient for you. Thank you for your cooperation.

Sincerely,

Ernst Becker

Ernst Becker, Director
Division of Quality
Assurance
Debt Collection and
Management Assistance
Service

UNITED STATES DEPARTMENT OF EDUCATION
WASHINGTON, D.C. 20202

ASSISTANT SECRETARY
FOR POSTSECONDARY EDUCATION
OFFICE OF STUDENT FINANCIAL ASSISTANCE

May 15, 1986

Dear Quality Control Study Respondent:

As you know, Westat is conducting a quality control study of the Title IV student financial aid programs for the Department of Education. When you were contacted for this study by a Westat interviewer, you indicated that you did not wish to participate. I would like to take this opportunity to explain why we're asking you to volunteer some of your valuable time.

We really do need your help. As a student aid recipient (or parent of a recipient), you were randomly selected to participate in this study. Because you were selected to represent thousands of student aid recipients from schools throughout the country, we cannot simply interview someone else. It is important that the views, experiences, and information from each sampled student and his or her parents be included so that we can project the findings to the total recipient population nationwide.

The decision to be interviewed or not interviewed is yours to make, but the help that you and other students and parents can give us is vital to the success of this study. The study is being conducted according to the regulations of the Privacy Act, and the information you provide will be handled according to this law. The authority for collecting this information is in Title IV of the Higher Education Act of 1965.

Again, I would like to urge you to participate in our efforts to improve the student aid programs. In a few days, a Westat Supervisor will call you to answer any questions you might have and arrange for an interview. If you have a busy schedule, an appointment time can be established at a time convenient to you. Thank you for your cooperation.

Sincerely,

Ernst Becker

Ernst Becker, Director
Division of Quality
  Assurance
Debt Collection and
  Management Assistance
  Service

UNITED STATES DEPARTMENT OF EDUCATION
WASHINGTON, D.C. 20202

ASSISTANT SECRETARY
FOR POSTSECONDARY EDUCATION
OFFICE OF STUDENT FINANCIAL ASSISTANCE

June 2, 1986

Dear Title IV Quality Control Study Participant:

I first want to thank you for your participation in the Title IV Quality Control Study that Westat is conducting for the U.S. Department of Education. The answers that you have provided to our interviewer will be of critical importance in helping the Department of Education improve the delivery of Federal financial aid to students who need it.

There is, however, an additional favor that I would like to ask. Because of an unexpected delay in processing, the release form that you signed and dated so that we could get copies of your 1984 tax return is past the 60-day period allowed by the Internal Revenue Service. I have enclosed the original form that you signed last March. Would you please sign and date the form again above the old signature and date so that we can get copies of your return? I have included a stamped envelope for you to send the signed form back to Westat before June 15, 1986.

I want to remind you that your signature on this release is not mandatory. While we regard your participation as important to the success of this study, there is no penalty nor any affect on your (or your son's or daughter's) student financial aid award if you do not sign this form.

Once again, thank you for your help. We sincerely appreciate the important contribution that your responses make to this timely research study.

Sincerely,

Ernst Becker

Ernst Becker
Director, Division of Quality
Assurance
Debt Collection and Management
Assistance Service

Enclosures

UNITED STATES DEPARTMENT OF EDUCATION
WASHINGTON, D.C. 20202

ASSISTANT SECRETARY
FOR POSTSECONDARY EDUCATION
OFFICE OF STUDENT FINANCIAL ASSISTANCE

Dear Title IV Quality Control Study Participant:

Several weeks ago, we sent you a letter indicating that the time had expired on the form that you had signed authorizing the Department of Education to receive copies of your 1984 income tax return in connection with our study of the Title IV student financial aid programs. Included with that letter was the original release form that you had signed, which you could simply sign and date again.

We have, however, not heard from you.

We are certainly aware of how hectic this time of year is for most students and their families. With that in mind, I have included another copy of the form in case the first one was lost. Would you please fill this one out and send it in?

I would like to remind you that your signature on this release is not mandatory. While we regard your participation as important to the success of this study, there is no penalty or any effect on your (or your son's or daughter's) student financial aid award if you do not sign this form.

Thank you again for your participation in this important study. Your assistance will help us to continue to improve the Federal student financial aid programs.

Sincerely,

Ernst Becker

Ernst Becker
Director, Division of Quality
Assurance

Debt Collection and Management
Assistance Service

Enclosures

Advanced Technology

Advanced Technology, Inc.
12001 Sunrise Valley Drive
Reston, Virginia 22091
(703) 620-8000

320

END

U.S. Dept. of Education

Office of Education
Research and
Improvement (OERI)

ERIC

Date Filmed

March 29, 1991